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January 24, 2000

THE HONORABLE BOARD OF SUPERVISORS
City and County of San Francisco

Attention: Audit and Government Efficiency Committee

SUBJECT: Transmittal of TechProse's Management Audit Report of the Office of the Clerk of the Board and the Written Response to Management Audit

Dear Supervisors:

This report serves two purposes: 1) Transmittal of TechProse's Management Audit (Audit) to the Board of Supervisors, and 2) Transmittal of the response to the Audit by the Office of the Clerk of the Board (Office). This item is currently in the Audit and Government Efficiency Committee (File No. 990185).

The Office would like to commend TechProse for its comprehensive analysis and detailed audit. The Audit provides a framework for future strategic planning for the Office. The Audit is fair, reasonable and welcomed.

OVERVIEW

The purpose of the Audit was to identify how to prepare the Office for the future. This was not an adversarial process and everyone was encouraged to participate. The Audit contains 69 key recommendations that mainly address the organizational structure, automation, and succession planning and training. In response to the Audit, consideration was given to a phased approach and some alternative recommendations.

The Audit demonstrates that the Office has undergone tremendous change in recent years -- changes in leadership, automation and increased demand on services. The Audit also notes some of the dated office and staffing practices, e.g., inadequate information systems staffing and job classifications. The Audit identifies the progress of the Office. The Office has improved its working relationship with the Youth Commission and Assessment Appeals Board (AAB) administrators, used computer applications at various meetings, reorganized the Office of

Legislative Analyst, created cash handling procedures for the Office and AAB, and initiated the Legistar Program.

RESPONSE TO THE AUDIT RECOMMENDATIONS

The Office must weigh the recommendations, costs and implementation with the multitude of ongoing responsibilities and the existing limitations on staff. The following chart illustrates the Office's organizational structure:

ORGANIZATIONS	MEMBERS/STAFF
Board of Supervisors	11
Legislative Assistants (Aides)	33
Clerk of the Board and the Office's Legislative/ Operations and MIS Divisions	20
Budget Analyst*	
Legislative Analyst	4
Youth Commission	20 (17 Members/3 staff)
Assessment Appeals Board	20 (16 Members/4 staff)

*Budget Analyst support includes contract administration and administrative support.

Page 13 of the Audit shows the potential contact of one support group's (the Aides) impact on the Legislative/Operations and MIS Divisions of the Office. It demonstrates the high level of demand to be customer service oriented toward internal groups, not to mention other City departments and the public. As a point of reference, the Aides had a turnover rate of 45.4 percent in 1999.

The response to the Audit is provided in two parts: 1) The two additional areas of responsibility that the Office will undertake in Year 2000-2001, and 2) The specific recommendations in the areas of organization and staffing, automation, and succession planning and training.

SUNSHINE ORDINANCE TASK FORCE AND DISTRICT ELECTIONS

As of January 1, 2000, the Office became responsible for the administrative support to the 11 members of the Sunshine Ordinance Task Force (SOTF). In addition, the Office needs to respond to the additional requirements of Proposition G - Sunshine Ordinance. Transition of the SOTF into the Office's organization is currently underway. Administrative staff will be requested in Budget Year 2000-2001. The November 2000 District Elections will impact the Office. President Ammiano and key staff have been reviewing the issues associated with district elections in 2000. Some preliminary information that included exploring individual satellite offices or community rooms on City-owned or school district property, additional Board of Supervisors' off-site meetings, and developing a draft budget for the 2000-2001 Budget Year has been gathered.

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eommendation Nos. 4, 5, 6, 7, 8, and 27 (Page Six and Appendix D)
ng the organization, transitioning to work teams, hiring an Assistant
rds and Information Management administrator and MIS support, and
nning, with some minor modifieations.

sues of morale, apathy, and absenteeism. The Offiee experienees
rom statements sueh as "why ehange....it has always been done this
had a negative effeet on the Offiee beeause of the need for others to
explore implementation of ineentive programs for employees who
of aeerued siek leave. The Offiee may also explore a pilot program of
days a week/10 hours per day). The Offiee aeknowledges ehange in
countability and inereased demand for serviees. With implementation
turnover in staff, as well as reeruitment of additional key staff and
ese eoncerns will diminish. The Offiee will provide opportunities for
velopment in the areas of improving staff morale and eonfliet
of a strategie plan that addresses human resourees, training, and
e fully address these issues. The Offiee is one of the seven City
n a six-month Performanee and Review Pilot Projeet. As a
ojeet, the Offiee will ereate a human resourees and teehnology strategie

The team based approaeh is one the Office will implement. A first attempt at this has already been implemented. A group of five Aides has been identified to work with the Offiee on issues of mutual eoneern, including eoordinating an off-site meeting proeess, addressing emergeney response issues, and developing a training eomponent and orientation paeket for new Aides.

The addition of an Assistant Clerk of the Board position is eritieal to the future of the organization. The Assistant Clerk of the Board position is reeommended for Budget Year 2000-2001. The position is neeessary to support the Clerk of the Board's management of the entire Board of Supervisors' operation. The Assistant Clerk of the Board would be assigned to work elosely with the two Deputy Clerks during the first year to ensure that the workflow of the Office would eontinue uninterrupted should either or both of the Deputy Clerks retire within the next one to two years. These individuals possess a great deal of institutional memory. There are many undoeumented polieies and proeedures assoeiated with handling legislation and interacting with departments. The Deputy Clerks are eurrently so busy doing the aetual work and filling in for those who are absent that there has been no time to plan for the future.

The two Deputy Clerks will be assigned respeetively to manage the new Speeial Serviees and Legislative/Operations Divisions. The third division, Reeords and Researeh (re-titled Reeords and Information Management) would require a Reeords and Information Management administrator and MIS support. The MIS support position would be funded by State Board of Equalization 719 moneys. The Offiee eoneurs with the division of responsibilities. In order to implement the new strueture, a logieal outeome may be to assign staff to different loeations within the offiee to better form the work group teams under the speeifie divisions. This

ORGANIZATION AND STAFFING

The Office agrees with Recommendation Nos. 4, 5, 6, 7, 8, and 27 (Page Six and Appendix D) which refers to restructuring the organization, transitioning to work teams, hiring an Assistant Clerk of the Board, a Records and Information Management administrator and MIS support, and providing for strategic planning, with some minor modifications.

The Audit highlights the issues of morale, apathy, and absenteeism. The Office experiences morale and apathy issues from statements such as "why change....it has always been done this way...". Absenteeism has had a negative effect on the Office because of the need for others to back fill. The Office will explore implementation of incentive programs for employees who maintain a defined amount of accrued sick leave. The Office may also explore a pilot program of the 9/80 work schedule (4 days a week/10 hours per day). The Office acknowledges change in leadership, automation, accountability and increased demand for services. With implementation of incentive programs and turnover in staff, as well as recruitment of additional key staff and organizational changes, these concerns will diminish. The Office will provide opportunities for managers to obtain skill development in the areas of improving staff morale and conflict resolution. Development of a strategic plan that addresses human resources, training, and technology needs will more fully address these issues. The Office is one of the seven City departments participating in a six-month Performance and Review Pilot Project. As a component of this pilot project, the Office will create a human resources and technology strategic action plan.

The team based approach is one the Office will implement. A first attempt at this has already been implemented. A group of five Aides has been identified to work with the Office on issues of mutual concern, including coordinating an off-site meeting process, addressing emergency response issues, and developing a training component and orientation packet for new Aides.

The addition of an Assistant Clerk of the Board position is critical to the future of the organization. The Assistant Clerk of the Board position is recommended for Budget Year 2000-2001. The position is necessary to support the Clerk of the Board's management of the entire Board of Supervisors' operation. The Assistant Clerk of the Board would be assigned to work closely with the two Deputy Clerks during the first year to ensure that the workflow of the Office would continue uninterrupted should either or both of the Deputy Clerks retire within the next one to two years. These individuals possess a great deal of institutional memory. There are many undocumented policies and procedures associated with handling legislation and interacting with departments. The Deputy Clerks are currently so busy doing the actual work and filling in for those who are absent that there has been no time to plan for the future.

The two Deputy Clerks will be assigned respectively to manage the new Special Services and Legislative/Operations Divisions. The third division, Records and Research (re-titled Records and Information Management) would require a Records and Information Management administrator and MIS support. The MIS support position would be funded by State Board of Equalization 719 moneys. The Office concurs with the division of responsibilities. In order to implement the new structure, a logical outcome may be to assign staff to different locations within the office to better form the work group teams under the specific divisions. This

recommendation may provide opportunities for leadership potential to emerge in the organization as well as improve productivity. Similar responsibilities such as preparing agenda packets and handling of legislation will be better coordinated.

AUTOMATION

The Office agrees with Recommendation Nos. 58, 63, 65, 66, and 75 that refer to defining business processes of the organization, developing a records and information management strategic plan, importing legislative text into a data base, and deploying the Tivoli Program.

As noted in the Audit, the existing MIS area desperately needs additional staffing. The new Records and Information Management administrator will define the business processes and develop a Records and Information Management Plan addressing issues such as electronic document linking, scanning, advanced uses for technology and internet/intranet activities. The Audit acknowledges the need to have limited file access and strongly recommends a method for allowing users to readily access records. Identification and uses of appropriate technology are key to meeting this requirement.

The Office concurs with the Audit that the Legistar Program should be upgraded, primarily because of its old and slow 16-bit block mode technology and its record creation locking limitations. The Office will explore an upgrade to current technology. The Office is concerned about the Audit's assessment that a site licensed Version 4 would save the City money. The City has already obtained 40 concurrent user licenses, which extend use to the City Attorney, Budget Analyst, Mayor's Budget Office and City Administrator. Concurrent use rarely exceeds 10 users. There is considerable room for growth in use and additional licenses under the present structure. The Office could add access capacity when needed at very low cost compared with the purchase of a site license.

Regarding hard copy cost savings, some of these savings may be achievable by implementing additional features of the present Legistar Program, i.e., electronic legislation. The Office believes that the rationale for replacement of Legistar 3.51 lies in the necessity to phase out 16-bit technology.

The Office will explore the feasibility of the Tivoli Program with the Department of Telecommunications and Information Services.

SUCCESSION PLANNING AND TRAINING

The Office agrees with Recommendation No. 33, which refers to succession planning and training. The Audit indicates that a succession plan consists of more than documenting the procedures for a given position. A critical component is creating a work unit that will ensure continuity of the organization's work. The succession planning will be integrated as a dynamic and ongoing process of the Office.

The Legislative/Operations Division staff is knowledgeable about the aspects of their respective work assignments. As documented in the Audit, most of the staff members

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have longevity and their knowledge is institutionalized and not memorialized. Work plans need to be documented and consistent standards applied to the various job responsibilities. The Office has already begun to address this issue in limited areas of the Legislative/Operations Division, specifically, the Assistant Clerks policies and procedures. In addition, as new areas of responsibility are assigned to the Office, policies and procedures are established accordingly.

Training will be an ongoing project. The Deputy Clerks attended a conference together for the first time with their peers. The conference focused on new legislation and provided an opportunity to network with other city/county agencies staff to explore how to do various operations more efficiently. Many of the staff are interested in taking courses and improving their skill level. Because of the lack of personnel in certain classifications attention to training has not been a high priority. Ongoing training of staff is essential to improving the health of the Office. The Office will work with the Department of Human Resources to develop a training plan.

Phases 1 and 2

Response to the recommendations in the Audit is proposed as follows:

PHASE I	TIMEFRAME
Reorganize Office of the Clerk of the Board's organizational structure	May - September 2000
Develop strategic plan for human resources	May - September 2000
Hire Assistant Clerk of the Board	September 2000
Hire Records and Information Management administrator	September 2000
Hire management information systems support	September 2000

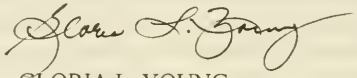
PHASE II	TIMEFRAME
Develop a strategic plan for records and information management systems	November/December 2000
Explore Legistar upgrade as well as Tivoli and other information technology management systems	November/January 2001
Develop a succession plan	November/January 2001
Develop a training plan for the work teams	January/February 2001

The Office feels this is a reasonable and workable approach to implementing the key recommendations in the Audit.

CONCLUSION

The Office again expresses its gratitude to TechProse for its Audit. The Audit will serve as one of many management tools that the Office will use to improve its performance and provide better services to the many constituencies it serves.

Respectfully,



GLORIA L. YOUNG
Clerk of the Board

Attachment

MANAGEMENT AUDIT REPORT

PREPARED FOR:

CITY AND COUNTY OF SAN FRANCISCO

BOARD OF SUPERVISORS/CLERK OF THE BOARD

FRIDAY, JANUARY 14, 2000

TechProse

Management Audit Report

Friday, January 14, 2000

City and County of San Francisco

Board of Supervisors/Clerk of the Board

TechProse

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Executive Summary

Purpose and Goals

The Office of the Clerk of the Board has undergone tremendous change in recent years. Changes in leadership and automation, coupled with increased demands on public officials have combined to place an increasingly heavy load on an already over-tasked organizational structure. The Office of the Clerk of the Board is increasingly challenged to provide greater availability, increased content and faster dissemination of Board records. In light of these challenges, and in order to maximize the responsiveness of the business group, an unbiased, third-party review of the current operation was commissioned. A self-improvement approach the office had not previously employed. This review was to be as comprehensive as time and budget constraints allowed, with clear recommendations for improvement. On September 13, 1999, the Clerk of the Board engaged TechProse to conduct this management audit.

As the term "management audit" is often perceived as a threatening, adversarial process, it is important to note the intent and focus of this business review. The issues and areas of concern identified must not become the focal point of the report. They must instead become challenges in the process of finding solutions. With that framework, the primary purpose of this audit lies not only in surfacing issues, but most importantly: ***in recommending actions and providing direction to the Board of Supervisors and Clerk of the Board on improving efficiency and service***.

Key differences exist between this project and other management audits, in both implementation and approach. The Clerk of the Board *requested* this review as a step in the continuous improvement process, and participated in key checkpoints as the audit progressed in order to insure expectations and performance were aligned. The Clerk encouraged active participation in the review by all subjects of the audit. Staff were viewed as experts in their field and the best resource for identifying problems and examining possible solutions.

Despite the fundamental differences in content, goals, and approach, the Clerk of the Board made a conscious decision to retain the title Management Audit, while acknowledging the differences and possible confusion for those not familiar with the project's unique purpose and goals

These goals were outlined in the July 9, 1999, TechProse response to the Clerk of the Board Request for Proposal (RFP), and later referenced in the September contract. As stated, they were "to work with the Board of Supervisors/Clerk of the Board to understand current procedures, roles and

responsibilities, and determine how best to prepare the organization for the future." This includes identifying:

- best practices
- areas for process improvement
- areas in which technology can streamline operations
- ways to facilitate neighborhood meetings and support District Elections without serious impact to the current budget or staff requirement[1]

TechProse addressed these goals in three broad categories:

- People—The roles and abilities of staff and any auxiliary resources and how effectively these are documented.
- Processes—The existing organizational culture, specific changes that affect personnel, past experiences, perceived goals, and other issues.
- Tools—Tools include the current (and future) systems and applications, and the specific impacts of technology on the way people do their job.

The remaining sections of the Executive Summary briefly describe the main thrust of the audit:

- Summary of Findings - Provides a foundation for the issues and recommendations discussed in this report. This includes examination of how the Office of the Clerk of the Board compares to successful organizational trends in both the public and private sector nationally.
- Guiding Principles on Change - Outlines barriers to change that exist at the Office of the Clerk of the Board and recommends executive actions to overcome them.
- Key Recommendations – Highlights key recommendations of the management audit.

[1] To avoid duplication of effort, analysis of "District Elections," was removed from the scope of this audit. See Methodology and Approach for a description of how the scope was managed over the course of the project.

Summary of Findings

In comparison to other similar organizations, both public and private, the Office of the Clerk of the Board's business practices show room for improvement. Although isolated efforts have been made to modernize the operation, many outdated practices still exist. An example is the ratio of supervisor to line staff. Typical well-performing organizations can operate with 25 to 75 workers for every one supervisor. Some high-performance organizations have exceeded 100:1. Others, such as the General Motors' Saturn company, have foregone traditional management positions and "flattened" their organizational structure. The federal government averages approximately seven workers for every one supervisor and the San Francisco Office of the Clerk of the Board averages four workers for every one person working in a "supervisor" capacity[2].

Typically government follows the example of corporate America in building public institutions. From the 1930's through the 1960's large, top-down, centralized bureaucracies, patterned after that day's corporate structures, were built. Within these monolithic structures tasks were broken into simple parts, each part the responsibility of a different hierarchy and each hierarchy defined by a rigid set of rules and regulations. As a result, government worked well, but was unable to respond quickly to a shift in customer needs. In a climate of limited budgets, rapid change, increased public demand for information and advanced technology, the public sector must once again follow corporate America's lead. Top-down bureaucracies no longer work well in either the public or private sectors. As cutting-edge businesses have done, the public sector must streamline operations, embrace automation tools and empower workers.

As the difference in supervisor to line staff ratios reflects the outdated nature of civil service business practices, so does the lack of adequate funding for information technology (IT) resources within the Office of the Clerk of the Board. The Management Information Services (MIS) unit, established in 1988, has grown from the original tasking of supporting one automated program to supporting:

- twelve major automated programs
- training and migration efforts from old main frame solutions
- 3 file servers

[2] Current ratios: Office of Legislative Analysts 1.1 (2 seniors, 2 juniors), Operations and Committees 10:1, Legislation 4:1, MIS 1:1, Assessment Appeals Board 3:1, Youth Commission 2.1, Aides/Constituent Liaisons 3:1

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- 100 work stations and printers
- local area network
- connectivity to a WAN infrastructure

During this period of explosive growth only one MIS resource was added. The imbalance between the demand for technological tools and the resources to support those tools weighs heavily on the Office of the Clerk of the Board. This impact will continue in light of changes to come, including the amended Sunshine Ordinance and the move to district elections.

These two examples show clearly that given the current structure and resources, the San Francisco Office of the Clerk of the Board is not positioned to efficiently process and support the legislative and public demands of today, much less keep pace with the information demands of the 21st century.

Guiding Principles on Change

Despite the necessity for change, barriers to change exist within the Office of the Clerk of the Board organization. These include:

- individuals with institutional memory resisting change as a perceived threat to job security and management authority
- internal and external rules and regulations restricting structural changes
- legislation and political culture that in some cases discourage effective cross-organizational work by imposing constraints

From private and public sector case studies, common strategies exist for overcoming these and other barriers and successfully implementing organizational improvements. To succeed, the agents of change should:

- Organize the structure of the business around the processes the customers consider valuable. For example, in an automated environment, the ability to research legislation is directly dependent on the storage and maintenance of the official record. Therefore, combining research specialists and the Management Information Services division would be an example of organizing the structure around what is considered valuable. That is, aligning the tools to efficiently support the public's "right to know."
- Shift accountability from the use of rigid, centralized management systems to a focus on high quality results and the synergy of a team-based culture.
- Create partnerships. This helps build flexible relationships and increases the focus on serving customer needs.
- Empower employees with the authority, skills, and information necessary to do their jobs.
- Redefine managers' role to become more team oriented.

The section, Self Directed Work Teams, is a recommended road map for implementing these strategies.

Key Recommendations

Astronaut James Lovell was once quoted as saying, "Landing a man on the moon was not as insurmountable a task as might appear...we just decided to go." And in the process, America applied it's collective will and determination to succeed to whatever challenge presented itself, accomplishing a feat the world thought was impossible.

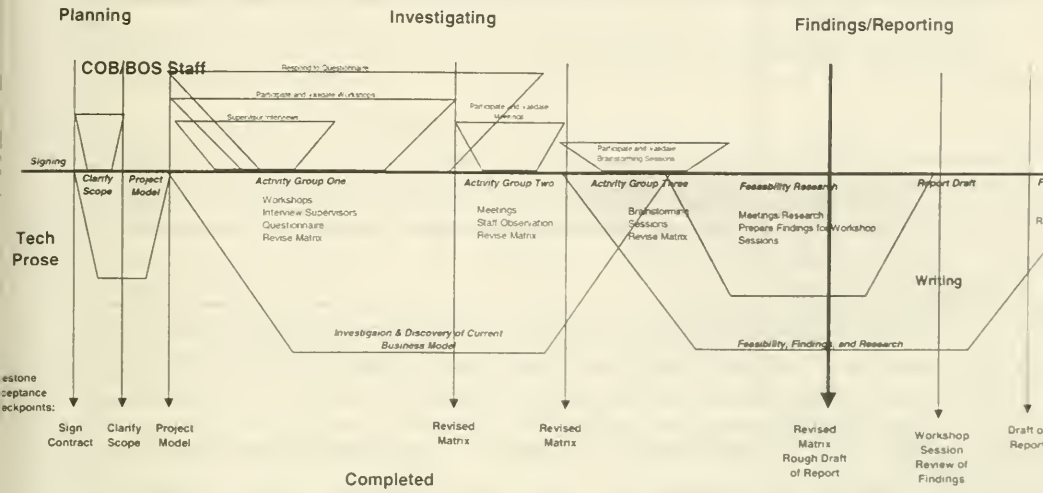
A smaller task now presents itself to the Board. In order to succeed in the implementation of the recommendations contained in this report, the Board must apply it's collective will to the challenges ahead. In the pursuit of excellence in efficiency and customer satisfaction, the only constant is change. This underpins the following key recommendations:

- hire key staff: #R 6, #R 7 and #R 8 page 31
- restructure the organization: #R 4 page 25
- write a comprehensive strategic plan: #R 27 page 38
- transition to a team-based culture: #R 5 page 25
- establish succession plans as non-negotiable processes: #R 33 page 41
- define business processes and document business rules: #R 57 page 50
- fund key automation improvements: #R 63, #R 64, #R 65 and #R 66 page 51, #R 75 page 57

Although the above items are listed as key, all recommendations contained in this report are tightly coupled. Therefore, the success of Office of the Clerk of the Board lies in the implementation of all report recommendations made. This is explained in detail in the Recommendations Descriptions and Implementation Plan section of this report.

METHODOLOGY AND APPROACH

The following diagram illustrates the model used by the Clerk of the Board and TechProse to manage the audit project.



The management audit was conducted in three phases with 7 checkpoints. The phases: *Planning*, *Investigating*, and *Findings/Reporting*, reflect the major groups of activities comprising the project and are described as follows:

The Planning phase served to clarify the scope of the project and develop a plan for completing the audit.

The Investigating phase focused on collecting detailed input from the Office of the Clerk of the Board and documenting the results in this phase. TechProse used the following methods to gather and confirm information, as well as to keep the audit focused on its objective:

- supervisor and staff interviews
- staff questionnaires
- staff monitoring and observation
- introductory and follow-up meetings

Investigative activities and associated resources were planned and tracked in a matrix. This was reviewed and refined at each checkpoint. The following matrix reflects the actual activities that occurred over the course of the project.

Investigation Matrix of Activities

X COMPLETED X POSTPONED X ADDITIONS AND DELETIONS (GROUP II COMPLETED, GROUP III NOT)

Entity	People	Suggested Means for Obtaining Information					
		General Questionnaire	Meeting (1 hour)	Interview (2 hours)	Brainstorming Session (half-day)	Workshop (1 day)	TechProse Observation (yes/no)
Supervisors	Ammiano		X				
Supervisors	Bierman		X				
Supervisors	Kaufman		X				
Supervisors	Teng		X				
COB	Young	X		X	X		
	Licavoli	X		X			yes
Deputy Clerks	Lum	X			X	X	yes
	McKechnie	X			X	X	yes
	Group					X	
Operations	Chan Committee Clerks Group (frt desk)	X	X	X	X		yes
MIS	Group					X	
	Vasquez	X					yes
	Moses	X					yes
Legislation	Group	X			X		yes
Aides to Supervisors	Selected Aides One Session	X	(2)X (1) X		X		yes
Office of the Legislative Analyst	Duma/Roos	X			X		yes
Assessment Appeals Board and Assessor's Office	Duran	X		X			
Youth Commission	Kim	X		X			
Legistar Vendor			X X Findings				
(DHR)City Dept. of HR (Carol or Andrea)			X				
(Sue and Ed) City MIS (DTIS)			X X				
City Attorney's Office (Ted Lakey)			X				
Controller's Office			X				

SCHEDULED MEETING ACTIVITIES

COMPLETED

*Brainstorming findings for
- Operations
- Legislation
- OLA
- MIS
- Aides
- COB
- Deputy Clerks

Meeting with Madeleine
Meeting with OLA
Meeting with Aides
Meeting with Legistar Vendor
Attend Legistar Presentation (Sacramento, CA)

*It was not necessary to meet formally with the groups. When validation of findings was needed, correspondence was made via email and phone.

The Findings/Reporting phase included exploration of possible solutions to issues raised in the research phase and creation of the report itself. This phase used the following methods:

- meetings and research, including comparison with other entities similar to the Office of the Clerk of the Board
- workshops to review the feasibility and validate supporting statistics for recommendations
- compilation of findings into this report

As the audit progressed, TechProse and the Clerk of the Board reviewed progress and refined the scope at strategic points in the timeline. These milestones were referred to as "checkpoints" and resulted in signed authorizations to proceed. The following two items are examples of project scope refinements:

- **District Elections** – During the early part of the investigation phase, the President and Clerk of the Board jointly established a project team to investigate the impacts of District Elections. To avoid duplication of project team effort in identifying staffing and technological needs, and to assist in cost containment, this item was removed from the scope of this audit. As the move to district elections places new service requirements on the Office of the Clerk of the Board, it indirectly effected many of the recommendations made in this report. So, although formally removed, the audit report is written with the Board's strategic direction in mind.
- **Budget Analyst** – Initially, the contractual relationship between the Office of the Clerk of the Board and the Budget Analyst was included as an investigative topic for the audit. However, the Budget Analyst contract was renewed prior to the investigative phase of the report. On October 18, 1999, the Board approved a two-year renewal of their agreement. This item was removed from the scope of the audit project.

Current Environment

Description of Environment

The Office of the Clerk of the Board's organizational architecture is set out in the City and County of San Francisco Charter. In theory this structure provides a clear chain of command and lines of communication for staff to follow. In practice the existing culture dictates an environment different from the Charter. This is often experienced by organizations that provide administrative support to political entities. In this culture the political relationships often take precedence over the planned organizational structure, resulting in fragmented lines of communication and a fractured chain of command.

In the diagrams that follow, the relationship between the Aides, Constituent Liaisons, Members of the Board and the Clerk of the Board are used to illustrate the effect this culture has on the organizational structure. The issues surfaced here also exist, in a more limited fashion, with the Youth Commission[3].

[3] See Youth Commission in Workgroups

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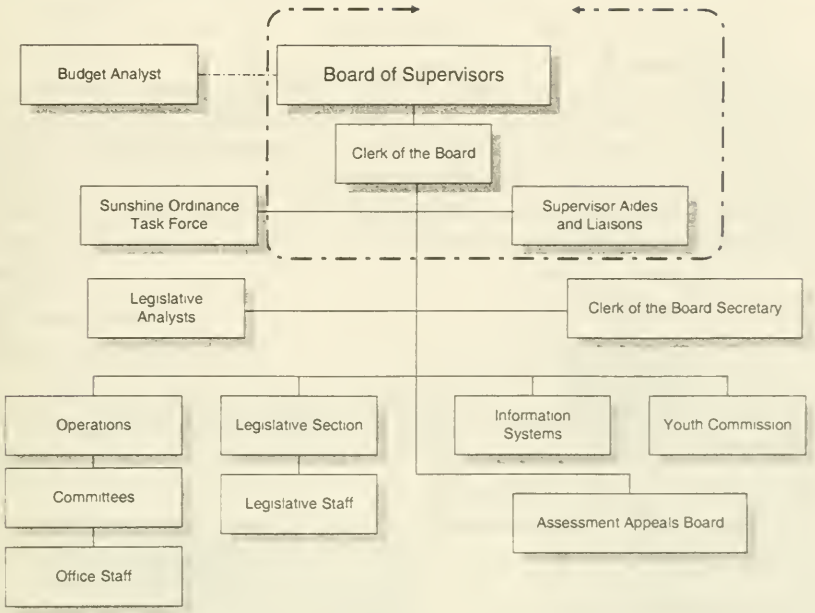
Figure 1: Organization as reflected in Charter



The 11 offices of the Members of the Board each operate autonomously, independently serving the public. They use Aides and Liaisons to provide their direct day-to-day support. There are 22 Aides and 11 Constituent Liaisons in support of 11 Board Members. The Charter states that these positions are at will and the official "appointing officer" is the Clerk of the Board. The culture, however, dictates that the Members of the Board are best suited to select their respective special assistants and, therefore, determine their responsibilities, workload, hours, performance expectations, and to some extent, pay scale.

The following organizational chart reflects the organization as it truly operates and is the published chart for the organization:

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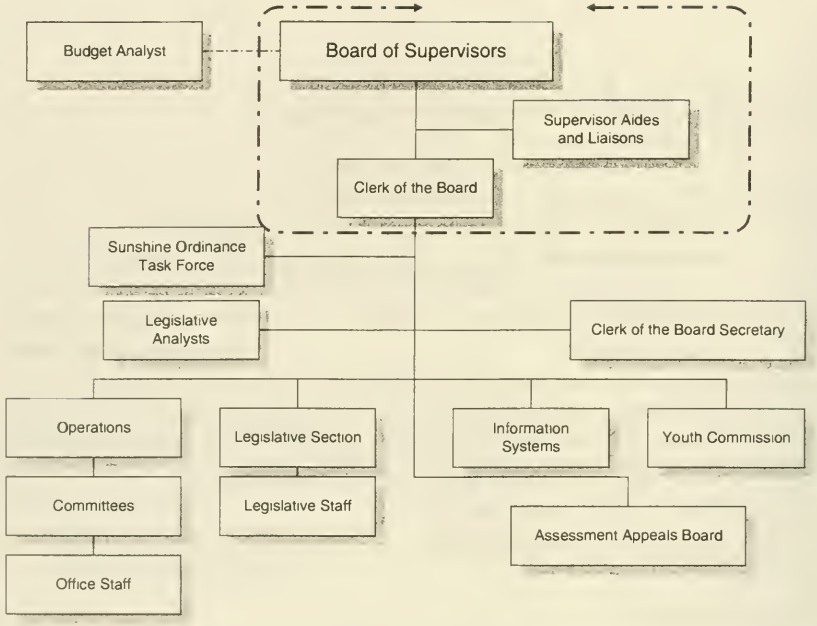
Figure 2: Culturally accepted organization



This situation presents a management dichotomy. The Clerk, who by Charter is responsible for the Aides and Liaisons, has little or no authority in organizing them as a workgroup. With 11 Board Member offices functioning independently of one another, the result is 33 different individuals impacting the Office of the Clerk of the Board through 66 separate lines of communication *for each work product produced.* Typically, one line of communication occurs when work product is requested and one line (sometimes more) occurs as, or when, the work product is delivered. Clerk of the Board work products include but are not limited to:

- human resource support services
- automation support
- payroll processing
- accounting support (i.e. expense payment)
- coordinating and providing general support services (i.e. problems with lights, power, cleaning, garbage, newspaper)
- research services

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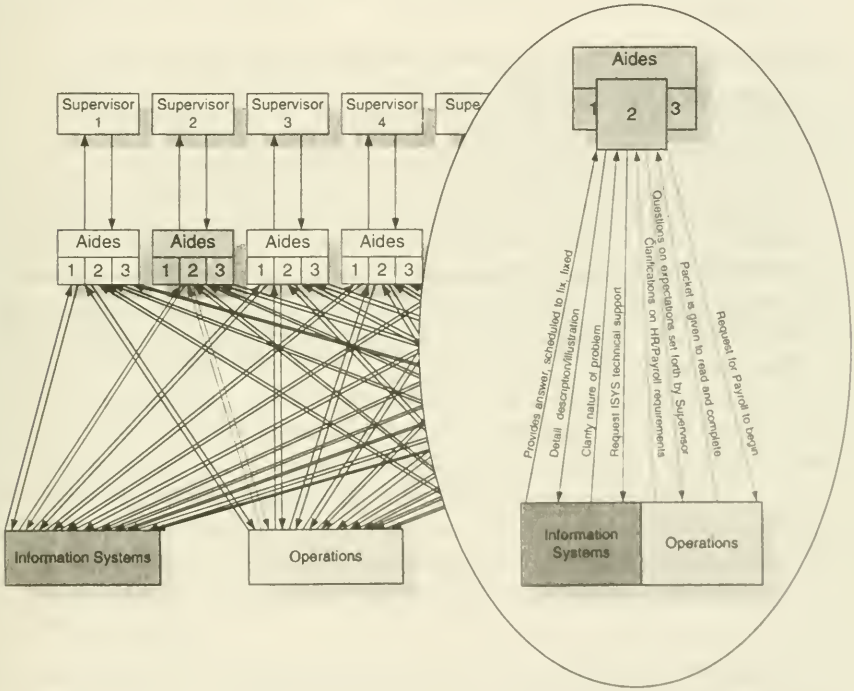
- records management
- agendas
- minutes

The following entity relationship chart illustrates the lines of communication currently in effect for two work products. The circled drawing depicts the communication of one Aide with other members of the Office of the Clerk of the Board. Depending upon the operating practices of each Board Member's office, this communication can take place with each Aide/Liaison. With 33 individuals, it is clear why this has an impact on the Office of the Clerk of the Board:



The cultural effects on the Office of the Clerk of the Board include:

- **Inability to refine process**. Each Member of the Board operates under a different set of priorities and requirements. Requiring an Aide or Liaison operate within a general, proscribed "process" may conflict with Board Member directives.

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- **Inability to plan resources**. Unanticipated interruptions immeasurably impact the workflow of any workgroup. When these interruptions occur, they become an unpredictable factor when budgeting for resources and establishing team expectations.
- **Inability to establish clear boundaries of responsibility**. The interpretation of the types of service provided by the Clerk of the Board staff vs. the types of service provided by Aides differs from Board Member to Board Member and staff person to staff person.
- **Unrealistic management expectations**. The expectation that the Clerk of the Board exercises management responsibility for this group is not accurate.

The cultural effects on the Aides and Constituent Liaisons include:

- **Fragmented chain of command**. Without clearly identified process methods supported by the Board Members, and a clear chain of command, Aides and Liaisons attempt to fulfill Board Member requirements through a variety of means. This often results in confusion, workflow interruption and redundant effort by Clerk of the Board staff.
- **Inability to guide Board Members**. Without static processes supported through executive sponsorship, existing documentation of guidelines is of little use. This results in Aides' inability to consistently advise and assist Board Members.

Staff Perceptions

Summary

In order to elicit detailed information about the perceptions of individual staff members, TechProse developed and distributed questionnaires to the Office of the Clerk of the Board. The responses of each division are summarized in the Questionnaire Table.

Observations

Overall, there was consensus among staff members. The following issues emerged as areas of concern:

- Respondents indicate the transition to new computer technology has been difficult and unsuccessful in some areas. Staff is experiencing disappointments and/or inadequacies in conducting research on ISYS, and entering new files in Legistar. The questionnaire also indicates a lack of end user knowledge and comfort level in operating Windows and common desktop applications. Both MIS and end users state their current technology skill levels are inadequate to perform work efficiently. Nearly all staff emphasize that they need more training.
- A high rate of employee turnover hampers the ability of long-term staff to build a team atmosphere and retain needed expertise.
- While workload has increased, staffing levels are not keeping pace with demand. The implication of an increased workload due to District Elections was voiced as a repeated concern. Maintaining baseline service levels while implementing new automation systems is another. Cumbersome paper flow and inadequate access to information contributes to a perception of overload. Some respondents perceive the assignment of new duties is made without considering their ability to accept new responsibilities.
- Respondents rate their overall morale as low to moderate. Workgroups reporting moderate to high morale tend to be more independent staff with a clear sense of mission, such as Legislative Analysts and the Youth Commission.

- Teamwork performance opinions vary from group to group, and are generally rated low to moderate. This is frequently attributed to a perception of excessive workload and promotion of individual priorities over team requirements.

Questionnaire Table

The following table summarizes the responses to a questionnaire distributed to employees of the Office of the Clerk of the Board. The identity of the respondents is confidential. The intent of the questionnaire was to provide a means for individuals to freely communicate perceptions of their workplace and surface issues affecting day-to-day performance.

Questionnaire Responses

Question	Responses
1. # persons consulted in chain of command to get work approved or make decisions?	Average 2
2. Copy of job description or class description?	All but Aides and Liaisons responded yes to having copies of job announcement or a document describing job expectations. Confusion identified with class description vs. job description.
3. Descriptions adequate?	42% of those who responded "yes" to question #2, responded "yes" to this question.
4. How is performance measured?	Other than statements such as: "by keeping my supervisor happy," most responded with uncertainty as to how their performance was measured.
5. Avenues for advancement	More than 50% responded by mentioning positions within the department or city. However, approximately 25-40% of the respondents felt no avenues for advancement existed.
6. COB mission statement	All agreed the general mission of the Office of the Clerk of the Board was to "support the Board of Supervisors and public."
7. Workgroup mission	Specific workgroup missions were rarely sited with the exception of staff in the following areas: Youth Commission, Legislation, Operations and OLA.
8. Workgroup spirit and enthusiasm	53% expressed low to moderate morale within their workgroups
9. Organization spirit and enthusiasm	52% expressed low to moderate morale for the organization
10. Why are services provided/needed?	30% of the respondents stated, "It's part of the job." The remainder either did not respond or referred to the mission statement. Rarely were specific reasons for particular services articulated.
11. Additional services requested etc.	Requests centered around having legislative text online and web-enabling the records application for the Board of Supervisors, divisions and public.

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Questionnaire Responses

Question	Responses
12. Obstacles in providing or expanding services offered	The obstacles mentioned most include: - lack of active participation, interest and executive sponsorship from the Board of Supervisors on issues relating to efficiency - political climate - lack of formal training on processes and automation - difficulties with researching legislation and using the current automated systems (Legistar and ISYS) - lack of clear boundaries of responsibility between workgroups and unclear performance expectations
13. Unnecessary services	Unnecessary services mentioned most: - "day-to-day handholding" of staff for basic computer operation skills such as: Windows navigation, file structure, printing, email activities, word processing and spread sheets. - mailing information such as board minutes
14. Workgroup's biggest success/why	All answers received on this question were technology-related and centered around progress in providing information electronically.
15. Workgroup's biggest challenge/obstacle	Most mentioned Workgroup challenges: - working as team for common goal - keeping abreast of technical changes - Windows and Microsoft Office competency - meeting various deadlines - 16-bit version of Legistar resulting in frequent "system freezes."
16. Personal challenges for the coming year	Most mentioned personal challenges: - inadequate basic computer skills - migration to district elections
17. Additional tools or changes which would greatly improve ability to function	Tools requested: - improve electronic research ability - more automation support staff - more automation training - upgrade Legistar from 16-bit to 32-bit to eliminate "locking" - better tools to research past legislation and actions
18. Most problematic policy or process...	Problematic policies and procedures include: - copying packets for meetings - inappropriate transfer of files to committees - call transfers that could be answered at front counter - process used to backfill personnel interrupts critical work, is unbalanced, or is not followed - accessing paper files and researching legislative text

ISSUES/RECOMMENDATIONS

The purpose of this table is to associate issues as articulated by staff during the investigative phase to the recommendations made in this report. Not all issues mentioned are included, only those issues that surfaced repeatedly.

Issues	Recommendations are described in detail in these report sections
New policy of keeping files in office is good, but file copying is time consuming and tedious and this policy generates significant work in having copies available. Many times, copies of files are requested and given to several groups only to be requested and distributed again later. Both Board Members and line staff have commented on the excess number of paper copy agendas available. The life cycle of a legislative file varies. Staff who need the file are often unable to locate it (i.e. still in committee hands). Files include both correspondence and legislation (average 10 pages) and vary depending upon type. There is consistently high volume distribution of legislation files. Although the security of files is critical, the process of keeping files within the Clerk's office restricts accessibility for legitimate use. Electronic access and the ability to print legislation and other items in a legislative file would be very helpful. It will allow staff to perform the task personally, rather than ask clerks.	Records Management and Organizational Structure
Lack of staff communication regarding requests for research results in more than one person doing the same research.	Records Management, Organizational Structure, and Self Directed Work Teams

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Issues	Recommendations are described in detail in these report sections
The demand for MIS management and policy making results in a loss of detailed technical skills within the MIS workgroup. MIS Specialist III is a technical position, and currently supervises, but is NOT a management position. With decisions on security, budget, strategic planning being made by this position, actual duties do not match classification. The ability of the MIS workgroup to respond to requests for support is an issue. "There is disconnect between what we want and what MIS is or can offer. If MIS can't do something, we must go to DTIS."	Staffing, Training and Education, Strategic Planning and Management Information Services
Almost universally mentioned, technical training is a high priority. Issues include: Training on Microsoft Office and Windows Operating System Training that fits each group's schedule Training on custom programs Training, documentation and procedures for new resources (Supervisor Aide turnover and committee clerk rotation) MIS division resources – only 2 to develop and deliver training on all types of programs Fear of technology, resistance to it by line staff – probably due to insufficient training	Training and Education
"Hardcopy file is sent to a Committee as assigned by Operations." How does Operations determine the appropriate legislative committee? Decisions being made by "non subject matter experts." Duplication of effort and redundant processes being supported.	Organizational Structure and Self Directed Work Teams
Regarding lack of information available, the "Whom to call" list is a start, but does not cover everything. There is a good deal of information in the "common file" staff are not aware of. There are problems communicating with the Clerk's office and getting information needed. The use of the common file is an example of an informal procedure developed to remedy the lack of formal information being available and accessible.	Training and Education, Self Directed Work Teams and Organizational Structure

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Issues	Recommendations are described in detail in these report sections
"Supervisors do not envision their Aides as part of the Clerk of the Board office, even though by Charter they are under the Clerk's supervision. Since Aides work for elected officials, officials need to have the authority to control Aide workflow and to supervise Aide staff." The legislative Aides are 11 separate groups of non-procedural based entities who have similar responsibilities and tasks, but do not collectively share or collaborate in a formal manner. Periodic new hire and orientation training is preferable to the current "train by fire" method. Although the Aide position is not procedure-based, Aides understand certain procedures are routine and could be streamlined. Aides agree issues are discussed repeatedly but no ownership is taken to resolve them.	Aides and Liaisons and Training and Education
New Aides often appear at the payroll clerk's desk the day they expect their payroll to begin. Aides are often hired/fired without knowledge of standard process and constraints.	Organizational Structure, Aides and Liaisons and Self Directed Work Teams
Operations, Legislation and Committee clerks have all expressed frustration regarding the high turnover rate of Aides. High Aide turnover and no orientation or briefing for new Aides lead to a sense that they are independent and separate from the Office of the Clerk of the Board The lines of communication between Operations and others are many. Aides alone require maintaining a possible 66 lines of communication for a single work product.	Training and Education and Aides and Liaisons

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Issues	Recommendations are described in detail in these report sections
The current block mode version of Legistar is problematic. It allows multi-user edits, but not multi-user creations. Legistar forces staff to create workaround processes, such as: reserving a "block" of file numbers by keying skeletal information into Legistar. The "block" is allocated to a particular person to use in setting up new legislation. When the legislation is received, a number is manually selected from the "block" and the skeletal information set up earlier is edited. Upgrade issue – will need training A lack of data entry standards prohibits the ability to perform standardized searches. Staff doesn't completely understand what is a critical process and what is done just because it has always been done. "In Legistar, it's difficult to search for anything other than what has ***happened*** to the Legislation."	Strategic Planning and Records Management
Several groups have expressed frustration with the limitations of the ISYS search engine in comparison with the previous Wang system. The amount of history retrievable per legislation record is significantly less. In ISYS, access is limited to journals, which are basically minutes of meetings. The inability to pull up individual legislative records without pulling up the entire journal hampers research efforts. "If you can actually find an item, the vote count is right there. The problem is finding it in the first place. When you search through the journals, you get a list of journals, which contain whatever you might be searching for at the time. You get a date, and then the number of hits. Then you have to scroll through each journal to see if what it found is what you want. Very time-consuming."	Strategic Planning and Records Management
No evaluations have been performed for, in some cases, over 10 years. Job descriptions are refined only when a vacancy occurs. No measuring stick for performance. Need meaningful and up-to-date job and class descriptions to use as a tool in the evaluation process.	Self Directed Work Teams and Succession Planning

Issues	Recommendations are described in detail in these report sections
"Morale for both Operations and Legislation is significantly lower than before. Everyone has to whisper." Key individuals are apathetic toward improving conditions or business process.	Self Directed Work Teams and Succession Planning
"Backup for receptionist duties is a significant issue between Operations and Legislation." There is clear resentment with having to staff the front desk for either noon duty, Mondays during board meetings, or when the dedicated resource is out. This is evident throughout both Operations and Legislation. Front desk is not seen as a critical process. The physical layout of the front desk also causes tension and hardship. Front Desk – To facilitate call processing, staff covering the incoming calls to the Clerk of the Board should identify the caller and purpose of the call. Front desk staff should do further investigation on the history and status of legislation. This may require additional training. With the appropriate training ands tools, the front desk will be able to handle more incoming calls. Telephone switching equipment is constraining the front desk staff ability to handle multiple telephone inquiries. If the person covering the first incoming call is engaged, the 2nd line rings twice and then is immediately transferred to another person's extension. In essence, the front desk is covering one line at a time.	Self Directed Work Teams and Operations and Legislation
"If there's a gap in Operations, then Legislation helps out. However, there is no one in Operations to help out Legislation. They could help assemble the files, copying, and some miscellaneous tasks."	Operations and Legislation and Self Directed Work Teams
No succession plan exist. A sense of apathy on the part of key staff inhibits enthusiasm of others in their workgroup. Opportunity for growth and promotion is not apparent in the current work environment (narrowly defined job classifications, no performance goals, etc.)	Succession Planning

Issues	Recommendations are described in detail in these report sections
"Board Members, for the most part, are disinterested in the institution of the Clerk's office. This disinterest will make executive sponsorship in strategic planning difficult." "Most Board Members do not have a clear understanding of how the department operates."	Strategic Planning

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Recommendation Descriptions

Organizational Structure

Objectives

- Align structure to product.
- Minimize division boundaries.
- Improve lines of communication.

Evaluation

Organizational architecture includes more than the formal structure of boxes on an organizational chart and lines connecting them. It encompasses work practices, culture, processes and staffing decisions. The term organizational architecture describes a comprehensive view of organizational design. The task is to define major work products and the skill sets needed to produce those products and align them within one management structure.

Frequently the priorities of one division are not in line with the priorities of another. Energy and time can be wasted when a person crosses a division boundary to secure a resource. For example, in order for the Office of the Legislative Analyst to obtain critical mailing labels, the current structure requires:

1. Staff member articulates need to supervisor.
2. Supervisor requests services of Operations Supervisor.
3. Operations Supervisor juggles workload (frequently consulting with Clerk of the Board on priorities).
4. Operations Supervisor prioritizes and schedules request around baseline commitments.
5. Resource allocated and work scheduled.

This process can work, providing the Operations Supervisor can secure the resource in a timely manner and no unanticipated events occur which cause operations to postpone the work requested. This approach is time consuming, laborious and requires excessive management intervention.

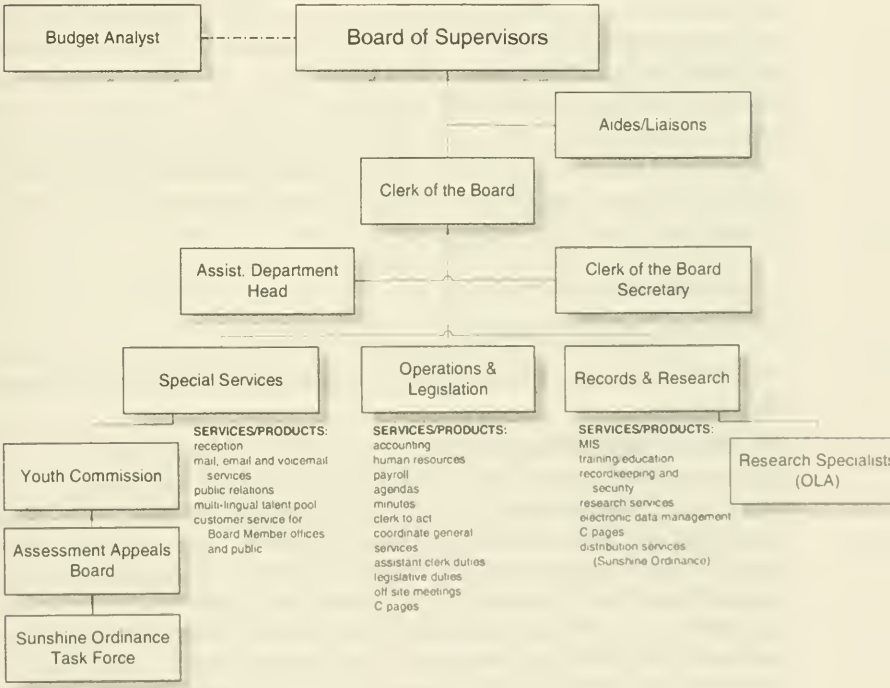
For those areas where division boundaries are culturally ingrained, such as the Aides or Liaisons, it is necessary to improve the lines of communication. Please see the Description of Environment section for details of this objective.

R 1. Explicitly empower the Clerk of the Board to act as change agent and organize the workgroups. This is especially necessary with respect to the Aides and Liaisons where culture interferes with the direct chain of command.

R 2. Gain commitment from the Board of Supervisors to actively participate and sponsor the change process.

R 3. Change the Charter to reflect actual organizational structure and align expectations for chain of command.

R 4. Re-structure organization by placing skill sets needed to produce services/products in the respective areas as follows:



R 5. Transition to a team-based culture[4].

[4] See Self Directed Work Teams

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STAFFING

OBJECTIVES

- Identify problem areas in staffing.
- Improve existing organization rather than overstaff.
- Partner with the unions, associations and the Department of Human Resources.

EVALUATION

The best approach to describing and recommending staffing at the Office of the Clerk of the Board is to examine by skill set or activity rather than by components of the current organizational structure. This approach results in recommendations applicable to the current structure, either as described in the Organizational Structure section of this report, or a hybrid structure to be determined by management at a later date.

Before discussing skill set needs, barriers to fully using the skills available in current staff must be addressed. The major obstacles facing the Office of the Clerk of the Board today is not necessarily overall head count, but include:

- productivity levels of existing resources
- how resources are pooled
- how resources are classified

Each area is discussed in detail below and is followed with a description of skills needed.

Improving Productivity Levels

Many areas of this report contain recommendations for improving productivity. From migrating to a records management system[5] to improved training programs[6], all serve to increase the return on investment made in existing staff. Of these areas, the benefit of formal training and improved automation systems is obvious and often requires significant cash outlay. Less obvious, but equally important, is the benefit realized from aligning product to organizational boundaries[7] and adopting a team leadership approach[8]. By "flattening" the organization and placing all human resources

[5] See Records Management
[6] See Training and Education
[7] See Organizational Structure
[8] See Self Directed Work Teams

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needed to produce a product within one division with a common mission, the Office of the Clerk of the Board can:

- Reduce management overhead needed to secure and budget for resources.
- Reduce redundancy. For example: resources in two divisions conducting research on the same topic for similar reasons (common in the current structure, increases the number of staff needed to produce a product).
- Streamline processes.
- Enable effective succession planning and training programs.

The largest staffing gains per dollar will be realized by reducing the need to cross division boundaries and by giving the customer direct access to the required resource.

Improving Resource Pooling

The current structure and classifications limit the ability to build skill set pools to ensure continuity of government. This was evident in the recent shortage of Assistant Clerks due to illness[9]. The issue also surfaces each time the organization assigns a piece of legislation to a committee or "shuffles" staff to cover the front desk duties[10].

The fundamental product produced by Assistant Clerks is strikingly similar to that produced by the legislative group; that is: preparation and distribution of agenda packets, legislative docket entries, generating minutes and public-right-to-know distribution activities (Sunshine Ordinance and Brown Act). By aligning these skills within one division in a team environment, the skills of one group can easily compliment and support the needs of another, resulting in a larger skill "pool" to draw from in times of crisis.

The pooling of skills can affect seemingly simple tasks, such as assigning legislation to appropriate committees. On the surface this appears to be a simple process. However, it is complicated by being the responsibility of two separate division heads: the Legislative Deputy Clerk for legislation originating from one source and the Operations Deputy Clerk for legislation originating from another. Decision trees are produced and maintained by staff to ensure the judgment calls made by one division are in line with the other. When in doubt, it is the Legislative Deputy Clerk that is consulted since the primary legislative expertise exists within this workgroup. Mismatched expectations occur when the operations group is tasked with making these decisions and the group experiences difficulties such as the

[9] See Operations and Legislation in Workgroups for a description of absenteeism for this group.
[10] See Operations and Legislation in Workgroups

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absence of key staff. This self-imposed bottleneck requires more than normal staff to resolve. Placing the products or activities requiring similar skill sets in one division promotes "pooling" of resources and enables the organization to function in a consistent and uninterrupted fashion.

In the case of staff coverage for front desk duties, there is no explicit pool of resources from which to draw. When conducting reception duties for the Members of the Board, management must draw from a small group of candidates. This group has evolved over time and is aligned on formal classification boundaries, not product or mission. The "backup" staff are drawn from two different divisions with two different missions, neither of which is focused on the quality of direct public relations. These staff have very different goals and are evaluated using different criteria. As a result, a critical process that involves greeting and assisting the public becomes an interruption and a nuisance rather than a streamlined process with a goal of quality and mutual support.

Improving Job Classifications

The success of a government organization's ability to establish strong skill set pools and a cooperative team environment relies heavily on the design of job classifications. Unions, associations and the Department of Human Resources (DHR) have distinct missions affecting classification design. Each entity must actively participate in understanding the Office of the Clerk of the Board's need to refine job classifications and in developing the new plan.

Currently job classifications are the primary criteria for establishing resource pools. As such, the need to reassess these classifications becomes critical. The Clerk of the Board strategy for implementing city-wide job classifications has evolved over time and no longer supports certain critical processes of the organization.

The following example illustrates how narrowly defined job classifications can grind a critical process to a halt in a crisis. A shortage of Assistant Clerks was experienced recently and, at one point, the following staffing scenario existed:

- one vacancy due to retirement
- three absent due to unplanned illness
- one relatively new individual working in provisional status

Also, among other supervisory duties, the Deputy Clerk of Operations was already the acting Assistant Clerk for a high volume committee. Only five positions in the entire City/County of San Francisco exist in this job classification, hence there was no pool of resources to draw from. The skills existed in other areas but they were not in line with the classifications used

to describe the work being done. Consequently, for a short time, committee meetings were postponed and a critical process nearly ground to a halt.

Another example of narrowly defined job classifications is the Legislative Calendar Clerk and Legislative Clerk. These classifications exist in no other department in the City/County of San Francisco. In fact, there are only two people who occupy positions in these classifications and since they are narrowly defined they present problems similar to those illustrated with Assistant Clerks.

Well-designed job classifications not only improve resource pooling but also provide a basis for recruiting and evaluating employees. Since classifications currently serve as the only means to dictate a resource pool, they must be re-evaluated to ensure the organization can evolve without over-staffing.

Skills Needed

In developing recommendations for the Office of the Clerk of the Board the consultants conducted interviews with several counties throughout the state. The objectives of these interviews were to discover operational areas similar to the San Francisco Office of the Clerk of the Board and to determine benchmarks for staffing. Commonality was limited, as San Francisco is the only city/county combination in the state of California. However, the following patterns exist:

- The other Offices of the Clerk of the Board support five Board Members and their respective office staff rather than the eleven that exist in San Francisco.
- Committee support was provided primarily by agencies other than the Clerk's office (see Santa Clara exception).
- Other county offices with less volume and fewer staff are more progressive in records management and information services. The average Information Services budget for these counties is $400,000 per year. The San Francisco Clerk of the Board's automation budget for 1999-2000 is approximately $306,000. This includes $142,000 in telephone billings and $65,000 earmarked for developing a new Assessment Appeals Board system. This leaves only $104,000 for automation.
- Other County organizations appear to have strong, long-term strategic plans for automation, staffing and providing information to the public.
- As in San Francisco, the Santa Clara Office of the Clerk of the Board supports Board Committees. Santa Clara differs in the ratio of clerks to

Board Committees, with approximately one clerk per committee. San Francisco averages approximately one clerk for two Board Committees.

These observations support the recommendation to augment key skill sets in the office of the Clerk of the Board as follows:

- **Executive strategic support** – Assistance in managing special projects discussed in the Strategic Planning and Succession Planning sections is needed. Augmenting the Clerk of the Board with a resource capable of strategic focus will ensure success in the move to district elections and in demands for public information. Please see the Assistant Clerk of the Board position in the proposed organizational chart[11].

- **Automation strategic support** – Budgeting, long-range planning, conducting cost/benefit studies and evaluating and managing software vendor contracts are skills needed in the current organization. These skills include the ability to meld future technology with budget, funding sources and organization need as well as oversee the overall design of automated workflow. The current information support staff is attempting to perform some of these duties, even though their classification explicitly states they do not operate in a management capacity. The ideal position would require information systems management experience as well as subject matter experience with a legislative support office. Please see the Manager of Records and Research position in the proposed organizational chart.

- **Management Information Services** – There is a critical shortage of Management Information Services support resources. The current workload consists of:
  - supporting stronger Board Member district presence
  - keeping up with the intranet, LAN and WAN demands
  - conducting training programs for 80+ staff
  - supporting and maintaining 100+ workstations, servers, printers and software information systems

  This is more than the two existing staff members can manage. It is essential to the success of the Office of the Clerk of the Board that the information services team has adequate staff to move the organization into the new millennium.

[11] See Recommendations for Organizational Structure

- **Legislation and committee clerk support** – The productivity gained from pooling resources, re-designing classifications and restructuring the organization will improve the efficiency of this skill/activity set. Group understaffing is negatively impacting the work process. This understaffing requires the Operations Deputy Clerk to perform Rules Committee Assistant Clerk duties. As discussed in the Improving Resource Pooling and Improving Job Classifications sections, additional staff is recommended to ensure continuity of government.
- **Information distribution** – The Sunshine Ordinance places large demands on the publishing and distribution of public records. Given the current level of automation and structure, additional resources are needed to meet this demand. Please see the Records and Research division in the proposed organizational chart.
- **Public Relations** – Increased skills in this area will allow the Clerk of the Board to provide public relations services, such as: a multi-lingual talent pool for translation services, multi-lingual publications, internet services and serve special needs for districts, constituents and the public.

Recommendations for Staffing

R 6. Hire an Assistant to the Clerk of the Board.

R 7. Hire a management resource to be placed in charge of Records and Research to begin a strategic automation plan for records management. This position is fundamental to the coordination of long-range staffing.

R 8. Hire an information services support person capable of supporting users and applications, with primary emphasis on skills needed for melding work flow processes with automation products and developing comprehensive training programs[12].

R 9. Create a strategic plan for organizational migration as discussed in Strategic Planning[13] section. The following is a list of tasks the project plan should include:

a. Board of Supervisors and the Clerk of the Board to reach consensus on the desired organizational structure.

b. Document the agreed upon structure and reasons supporting the need for change.

[12] See Training and Education
[13] See Strategic Planning

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c. Collaborate with the Department of Human Resources to:

i. Identify classifications needed for the target structure. (classifications used for other departments may be applicable).

ii. Validate pay scale of needed classifications.

iii. Add, modify or delete existing classifications.

d. Partner with union and association representatives to determine ideal migration path for existing staff.

e. Update strategic plan for training and education to include change management and organizational vision. Empower self directed work teams to design and implement the migration plan.

f. Require stakeholder sign off on project plan (management, DHR, unions, associations)

R 10. Redesign job classifications and their function per the project plan.

R 11. Restructure the organization and align all skills needed to produce similar product within one division, per the strategic plan.

R 12. After restructuring, re-evaluate skills needed for staff to perform assistant clerk and legislative functions. Should the organizational structure remain relatively unchanged, hiring additional staff should be considered in order to meet the district and information distribution needs.

R 13. After restructuring, re-evaluate the skills needed for staff supporting the Sunshine Ordinance provisions. Depending upon the records management strategic plan, that is, how quickly funding sources can be identified and improvements made, hiring additional staff should be considered to meet information distribution needs.

R 14. After restructuring, re-evaluate the skills necessary for staff who provide public relations services such as reception and Internet services. At least one new position is recommended to establish this professional service mission.

Self Directed Work Teams (Team Culture)

Objectives

- Tap into employees' capabilities, knowledge and creativity while preserving organizational structure and providing clear direction.
- Enable the Clerk of the Board to be a visionary and strategic decision maker[14].
- Reduce apathy, lethargy and "that's not my job" attitude.
- Improve productivity and customer service and create staff incentive.

Evaluation

"Employee empowerment" and "team culture" hold great promise for the Office of the Clerk of the Board. Unleashing the ingenuity and thinking potential of the work force can lead to greater productivity, better customer service and improved staff attitude. The current structure at the Office of the Clerk of the Board is one in which divisions function somewhat independently. Although information is shared between them at the top of the organization, communication does not flow smoothly up and down or across organizational lines. Evolving into a team-based culture and empowering employees meets the objectives outlined above.

In a team environment, management determines the "what" and the "why" as they relate to any project or task. Employees determine the "how" as it relates to accomplishing the project or task. Management recognizes the employees are the experts on day-to-day challenges in their jobs and are, therefore, more qualified to decide how such challenges should be met. Suggested Office of the Clerk of the Board teams include:

- Executive Teams — Comprised of individual Members of the Board and the Clerk of the Board. These teams focus on strategic organizational issues.
- Management Team — Comprised of the Clerk of the Board and direct reports. This team focuses on strategic and operational issues as well as sharing news about projects and goals of their respective Home Teams. They establish organization-wide goals in key areas such as budget, customer satisfaction, organization development and relationships/partnerships.

[14] The current 4:1 ratio of staff per supervisor discussed in Organizational Structure is not conducive to this objective.

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- Home Teams — Comprised of employee operational units in a division. It is possible in structuring to have more than one Home Team in a division. Teams are not necessarily mutually exclusive. For example, a Records and Research Home Team may exist and be comprised of all staff in the division. A project team for improving research may be formed as a subset of the Home Team. The structure of teams varies depending upon the division and its needs and service demands. In addition, teams can cross division boundaries. One distinguishing feature is that teams are ongoing, and their primary focus is day-to-day business improvements, special projects and communication.

In self directed work teams, non-negotiable processes are defined as standards that apply to every individual in the organization regardless of function or level. Each team determines how they will support non-negotiable processes in their areas. Here are a few examples of non-negotiable processes:

- A clearly defined decision-making process with the details and logistics of the process left for each team to determine. One team may choose unanimous decision making while another may choose quorums and voting.
- A process for a team to improve interpersonal skills. As part of such an action plan the team may decide, for instance, to spend five minutes during the meeting giving recognition to team members.
- An expectation process consisting of: team member expectations of the leader, leader expectations of the team and team member expectations of each other. This includes giving feedback and developing action plans for improvement and follow-up.
- A standard, organization-wide meeting process. This includes how often teams meet, what items must be included on the agenda and how information will be disseminated throughout the organization.

Goal setting is key to accountability and motivation. The Executive and Management Teams establish organizational and strategic goals. Home Teams develop their respective goals to support the overriding strategic goals.

Once non-negotiable processes and goals are established, individual teams track compliance, using tools such as a scorecard. This is a form that lists each goal, its owner, the goal due date, status and comments. Using a scorecard, teams remain continually aware of their performance with respect to targets, and are held accountable for their performance.

When teams define their own processes, even those who are resistant to the culture contribute. It is difficult to disregard a process one helps develop. This synergy creates incentive and wins over apathy, complacency, lethargy and "that's not my job" attitudes. Everyone understands what is being done and why, and when accountability translates into visible results, many are more committed to team processes than traditional ones.

Recommendations for Self Directed Work Teams

R 15. Executive sponsorship. The most critical requirement for implementing self directed work teams is to obtain executive sponsorship from the Board of Supervisors. The key is not just a verbal commitment, but continued visible and personal involvement in the process.

R 16. Develop a long-term plan for implementing teams that requires teams to develop business goals and progressively track and report results.

R 17. Train team members on team philosophy and expectations for each team type, leader and member. This includes coaching teams on developing non-negotiable processes, goals, tracking, reporting and interpersonal skills.

R 18. Implement teams within the organizational hierarchy according to the plan developed.

Develop an organization-wide audit process and increase accountability by:

R 19. Members of the Executive Team (on a rotation basis) attend Home Team meetings.

R 20. Place Home Team scorecards on Intranet, available for viewing by all employees.

R 21. Involve all teams in the evaluation of other team's progress measured against expectations.

R 22. Replace the traditional manager-employee appraisal with a peer performance review process to give individual Home Team members feedback.

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OBJECTIVES

- Provide the organization with a roadmap, sponsored by the Board of Supervisors, to use as a target in streamlining processes.
- Adopt realistic performance standards to measure efficiency.
- Provide a framework for long-term budget plans by preparing for phased, controlled service growth that will meet the expectations of the San Francisco public in the 21st century.
- Align phased implementations of management information systems with organizational business strategy. This ensures the automation tools of tomorrow will continue to support the core business functions.
- Provide a framework for planning human resources, training and educational programs.
- Prepare the Office of the Clerk of the Board and Board of Supervisors to function in times of crisis or disaster.

EVALUATION

The Government Performance and Results Act of 1993 (known as GPRA, or the Results Act) challenges government leaders to reach out and understand what customers really need and expect from government. Although the Results Act does not explicitly define "strategic plan," it does provide a list of the elements a strategic plan contains. This includes:

- Establish strategic goals with a clear understanding of customer need.
- Develop plans detailing how to deliver high quality products and services through better, faster, and cheaper programs.
- Leaders establish performance measures for which they are fully accountable to assess and ensure promises made in strategic plans are indeed being delivered

An important point made by the Results Act is that planning can be an opportunity to unify the management, employees, stakeholders and customers. This is done through a common understanding[15] of where the

[15] See Self Directed Work Teams

organization is going, how everyone involved can work to achieve the common purpose, and how progress and levels of success are measured.

The Federal Consortium Benchmarking Study Team of the National Partnership for Reinventing Government (NPR) defined strategic planning as: "a continuous and systematic process where the guiding members of an organization make decisions about its future, develop the necessary procedures and operations to achieve that future, and determine how success is to be measured." The terms used in its definition are:

- "Continuous" refers to strategic planning being an ongoing process, not merely an event to produce a plan.
- "Systematic" recognizes that strategic planning must be a structured and deliberate effort, not something that happens on its own.
- "Process" recognizes that one of the benefits of strategic planning is to involve stakeholders in thinking strategically about the future and how to get there.
- "Procedures and operations" and "achieve that future" mean the full spectrum of actions and activities, from aligning the organization behind clear, long-term goals to putting in place organizational and personal incentives, allocating resources, and developing the workforce, all to achieve the desired outcomes.
- "How success is to be measured" recognizes that strategic planning must use appropriate units of measurement to determine whether the organization has achieved success.

Recommendations for Strategic Planning

R 23. Establish a strategic planning project at the executive level. Participants include select Members of the Board of Supervisors, the Clerk of the Board (and Assistant) as well as the Director of Records and Research.

R 24. Perform recommendation #R 6: Hire an Assistant to the Clerk of the Board to lead the planning project.

R 25. Perform recommendation #R 7: Hire a manager in charge of Records and Research with extensive information services management and budgeting background.

R 26. Prepare a detailed project plan for creating the Office of the Clerk of the Board Strategic Plan.

R 27. Write a strategic plan as described in the Description and Background section encompassing:

a. human resources

b. automation

c. disaster recovery and education.

R 28. Adopt a process for maintaining the Strategic Plan as a living document[16] in the organization.

[16] A "living document" is one which is constantly evaluated, measured and updated. These types of documents are continually adjusted as the organization progresses and outlive turnover. In a team-based culture these documents are owned by a group rather than an individual.

Succession Planning

Objectives

- Ensure continuity of talent and leadership.
- Provide a self-motivating method for employee advancement.
- Capture institutional knowledge.
- Align corporate values with employee training and development efforts to ensure consistency in leadership recognition and growth.

Evaluation

Succession planning consists of more than merely documenting the procedures for a given position. Preparing for the departure of an executive, the retirement of a Deputy Clerk, or simply sustaining a resource pool for Assistant Clerk functions may appear to be insurmountable. The term "institutional knowledge" is used frequently in the office of the Clerk of the Board to describe information possessed by key individuals. In an unprepared organization this term becomes synonymous with "irreplaceable staff" and without planning can be catastrophic. Resource pools and programs to ensure continuity of government are relatively non-existent at the Office of the Clerk of the Board. Some essential process documentation has been done in the past year, and a procedure manual is being developed for Assistant Clerks. Also, both Operations and Legislation staff members have been asked to document their responsibilities to clarify roles and provide adequate backup support. However, as has been experienced recently with the Assistant Clerks, the absence of key individuals can still result in an interruption of critical operations.

Institutional knowledge includes knowledge of the organizational strategy, history, culture and relationships that, coupled with processes, is used by an individual to meet an organizational objective. Understanding the components of institutional knowledge is fundamental in planning for succession.

Succession planning is a dynamic, on-going process of identifying, assessing and developing leadership talent for future strategic tasks. Focus on individuals in the context of leadership teams ensures leadership growth will keep pace with organizational growth[17]. In the simplest terms, an effective succession plan enables an organization to identify and prepare the right

[1] See Self Directed Work Teams

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people for the right positions at the needed time. Continuous focus on long-term strategic goals can only be achieved if an effective program for leadership succession is in place. Therefore, succession planning should be integrated with the organization's strategic plan[18] and should be:

- Non-negotiable in a team-based culture. For example, a Home Team[19] may decide the best way to create resource pools for a particular function such as Assistant Clerk, is to rotate or establish cross section/cross function assignments. Another Home Team may decide the best way to provide for an untimely departure of their manager is to establish a "management succession team." This sub-team would be comprised of key individuals that, as a group, could self-manage their division for an interim period of time.
- Customized for the organization, its culture, structure and goals. Training requirements for the successor individual versus a resource pool can be different. A skill set "pool" may require a schedule of cross function assignments. Management successor(s) may require formal time management training or need to participate in periodic strategy making meetings.
- Driven and strongly supported by management, owned by individual employees and/or teams and guided by human resources.
- Focused on development with shared responsibility. Plans focus on the development opportunities with the greatest impact, such as cross function/cross section job assignments. The responsibility for such assignments is shared by management in coaching and mentoring each staff.
- Far-sighted and aligned with future strategy and ideal culture.
- Based on a multi-rater feedback[20] system which offers higher reliability than single-rater assessments and more accurate performance assessment.
- Focused on developing a leadership cadre that encompasses teams, not individuals.

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[18] See Strategic Planning
[19] See Self Directed Work Teams
[20] See Self Directed Work Teams

R 29. Create a project plan for the creation of Succession Plans. Participants include but are not limited to: the Clerk of the Board (and Assistant), the Clerk of the Board direct reports and a DHR representative.

R 30. Train managers and teams on the Succession Plan vision. Emphasize the non-threatening aspect and an opportunity for career growth.

R 31. Conduct essential process analysis to identify and document those processes critical to the organization that need to be addressed in a succession plan.

R 32. Identify key individuals or duties whose extended absence would jeopardize the organization's continuity, strategic goals or ideal culture.

R 33. Establish Succession Planning as a non-negotiable process in creating Self Directed Work Teams.

R 34. Incorporate training requirements discovered during the creation of the succession plans into the Office of the Clerk of the Board training budget/plan. These requirements may serve as a basis for the corporate training plan.

R 35. Record Succession Plans as living documents[21].

[21] A "living document" is one which is constantly evaluated, measured and updated. These types of documents are continually adjusted as the organization progresses and outlive turnover. In a team-based culture these documents are owned by a group rather than an individual.

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Training and Education

Objectives

- Match training objectives with the strategic plan for the organization and succession plans for positions.
- Ensure all staff use automated systems in the most efficient way.
- Fit training into the daily workflow without negatively impacting productivity[22].
- Ensure all forms of information and institutional knowledge are well documented for new hire training.

Evaluation

Training can be a tool for improving individual and organizational performance, and should be included in strategic and human resources planning. In high-performing organizations training is seen as a key investment as it results in helping to achieve the organization's mission. These organizations budget for long-term training programs designed to improve both individual and organizational performance. Training enables staff to embrace new processes and encourages change, especially in the technology arena.

Critical components in a successful training program include:

- a comprehensive training plan with measurable performance objectives for the individual and the organization
- training materials that target users and are designed for reference, usability, and updated regularly
- skilled and effective trainers who ensure maximum user comprehension
- a non-production environment allowing practice without impacting ongoing business activities
- feedback and communication mechanism to foster continuous improvement

Before planning training programs, essential process analysis and documentation is critical. Some process documentation exists as mentioned

[22] See Self Directed Work Teams

in Succession Planning[23]. Emphasis should be placed on completing this effort prior to developing a training plan. This is especially true when new automated systems are the focus of the training. Rarely is there a perfect match between the old ways of doing business and the features of a new automated system. Gap analysis, followed by the identification of essential processes, is critical to a successful training plan.

Management Information Services (MIS) Training

Technology is constantly changing, and those involved in this field must continually improve their technical skills. Continuous technical training is essential to enable the MIS team to successfully support both users and systems. The training plan for this workgroup should include training on all applications currently supported as well as those projected in the strategic plan[24]. For example, advanced training on the Microsoft Office suite of applications will help the Management Information Services team train Clerk of the Board staff to be more self sufficient. It is important to note training curricula cannot be developed until all essential processes are identified and documented.

Legislative Aides and Constituent Liaisons

Because of a historically high turnover rate in this workgroup, business process and orientation training is critical. A committee of Aides (3-4) is recommended to work with the Management Information Services support resource to document all business processes for Aides and Liaisons. This list should include such things as payroll, human resources, expense reports, conducting research, etc. Include as educational aids not only traditional classroom training, but the use of Internet/Intranet and computer-based training.

Operations and Legislation Sections

Training needs vary for this workgroup as there are differing degrees of technical competency. In general, Microsoft Office (specifically Word and Excel) and Windows training are recommended to reduce time spent in individual instruction when problems arise.

Customer service training is also necessary for front desk staff. Improving service skills for people who are often the initial point of contact with the public is vital to successfully meeting customer expectations.

All Workgroups

After the acceptance of the strategic plan for migration to self directed work teams, all groups should receive coaching on team-based philosophy and

[23] See Succession Planning

change management. This coaching should occur prior to implementation of the strategic plan. Team environments are very different from a traditional work environment, and foreign to those who have worked primarily in government positions.

Recommendations for Training and Education

R 36. Implement recommendation #R 8: Hire an MIS support resource with training and business process documentation background.

R 37. Document all processes and procedures.

R 38. Create an organization-wide training plan based on strategic plans, succession plans, and developed process documentation.

R 39. Identify members of each workgroup to collaborate with the MIS support resource in developing a training plan unique to the needs of that group.

R 40. Develop training aids using information contained in essential process documentation and vendor manuals.

R 41. Designate workgroup trainers.

R 42. Periodically revisit training curricula for updates and enhancements.

Training Recommendations specific to MIS

R 43. Receive advanced training on Local Area Networks (LANs).

R 44. Receive technical training on advanced features of the Legistar system.

R 45. Receive formal training on systems, workflow and gap analysis.

R 46. Receive advanced level training on Microsoft Office applications.

R 47. Receive training on the Wide Area Network (WAN) toolkit – TIVOLI[25].

Training Recommendations for Legislative Aides and Constituent Liaisons

R 48. Develop guides for Aides on all common business processes.

R 49. Provide orientation training at time of hire on the purpose and mission of the Board of Supervisors, include training on common business processes.

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[24] See Strategic Planning
[25] See Management Information Services

Training Recommendations for Operations and Legislation

R 50. Provide Windows training.

R 51. Provide user level training on the Microsoft Office applications.

R 52. Provide training in effective business communication using Lotus CC:Mail.

Training Recommendations for all workgroups

R 53. Provide training on philosophy of Self Directed Work Teams.

OBJECTIVES

- Improve business processes to significantly reduce paper copies and "paper shuffle."
- Provide the Office of the Clerk of the Board the tools to secure electronic records, implement document change control and standardize distribution.
- Streamline the process of researching legislative matters.
- Position the Office of the Clerk of the Board to quickly and cost-effectively make all necessary information readily available to the Board Members, outside departments and public.
- Fully use the tools already at the Office of the Clerk of the Board's disposal.
- Stabilize and standardize the organization's processes.

EVALUATION

Storage and Distribution

Although the Office of the Clerk of the Board has made great strides in records automation within the last year, operations are still largely paper-based. This is evident when examining the effect of a policy change in early 1999. Since files were misplaced and sometimes reported missing, the Office of the Clerk of the Board adopted a standard that no file containing original documents shall leave the Clerk's office. The Clerk is, by Charter, responsible for the safekeeping of public records. Since policies such as this are essential to file safety, they are commonly found in organizations with manual file tracking systems.

While the new policy has allowed the Office of the Clerk of the Board to effectively regain control of original documents, the impact of this policy on a paper-based system is felt not only by staff within the Board of Supervisors structure, but by all departments in the city/county of San Francisco. For example, since the paper file can no longer leave the Office of the Clerk of the Board, it is necessary to copy the file in order for work to flow. The following is the average number of times a legislative file is copied:

- Greater than 6 copies of legislative files and correspondence are made and distributed upon receipt. [26]
- 6-12 copies are made and distributed when legislation is passed.
- 5-10 copies are made and held at the reception desk to hand out as requested (this inventory is replenished as needed).
- 1 copy is made for the "copy room" file.

The average legislative file is ten (10) pages. Therefore, approximately 180-290 page copies are required to process the above list. If the Board of Supervisors averages 5,000 pieces of legislation introduced each year, this equates to 900,000-1,450,000 pages required annually to support current business processes. These reproduction activities exist as part of the day-to-day processing of legislation and do not include copies made by other San Francisco departments, Board Member offices or specialists conducting research.

Another area in which the manual production of copies is an issue is agendas and minutes. These are often copied and distributed to the same office, person or department more than once. Members of the Board have reported their offices routinely receive excess copies.

The 1998-99 copy costs for the Office of the Clerk of the Board were approximately $30,000 for equipment and maintenance and $9,000 for paper. Although these costs are significant, the hard costs alone are not the most notable impact on the Clerk's office. Rather, the largest impact is felt in the human resource expense of:

- making copies
- assembling copies into publishable packets
- distributing copies (primarily via courier)
- queuing for copy machine time
- serving the public when copier is in use (staff must go to a different location to produce a copy while receptionist and customer waits)
- meeting publishing and distribution deadlines as dictated by the Brown Act and Sunshine Ordinance
- managing disruption and relocation to other areas when copy machine is not operable or reserved for critical projects

[26] Note: Current business processes require originating departments to make some of the copies

A less tangible effect occurs when legislation wording changes prior to passage. This is commonly referred to as document change control. Depending upon where in the legislative life cycle a change occurs, it is often very difficult to manually track, notify and recopy. The staff is diligent in their efforts to re-copy and notify key departments or individuals directly associated with the legislation. It is difficult to project, however, how much energy is spent on old versions of legislation by entities outside the Clerks office.

Research Tools

The Office of the Clerk of the Board has made considerable progress in this area given the resources available in automating records. The MIS team of two, while tending to the day-to-day automation needs of the organization, has managed to transition from an old mainframe application to a client/server solution called Legistar. Although not all features of the application are used, they have successfully installed Legistar on the local area network, trained the staff, converted data and deployed the system.

During the data conversion phase, as with many implementations, management decisions were made regarding what data would be electronically converted to the new structures. These decisions were made based on the cost of extracting old records, manipulating them programmatically and importing into a new data base. The costs of electronic data conversion, in many cases, can be staggering and often prohibit an organization from considering a 100% electronic conversion project. Instead, compromises are made and they opt for other methods. These methods include leaving data in old structures as a query-only data base, printing and filing certain static information or simply determining some data is no longer needed. As a result of these critical decisions, research methods were determined that impact operations today, such as:

- Legislative information remains in the old structure and is queried using a tool called ISYS. The hard copy file contains legislative documents so this information will, as it ages, be accessed less and less. Eventually, by virtue of attrition, the need to maintain this data will disappear.
- The first phase of the Legistar deployment does not capture the legislative text.

Legistar by Daystar

The current version of Legistar (version 3.51, developed by Daystar) deployed at the Office of the Clerk of the Board is a 16-bit, block mode version with limitations in record locking. Only one user at a time can establish a new legislative record. Should another person attempt it, the system freezes the

workstation and requires user intervention. This version of Legistar is currently used by staff to:

- generate agendas
- generate minutes
- track demographic information (who sponsored legislation, short description, etc.)
- track event information on a particular piece of legislation (date legislation was presented and date subsequently referred to committee)

This is considered "docket-type" information and is efficiently tracked, reported and researched in Legistar.

The records management system needed to sustain the Office of the Clerk of the Board in the coming years[27] should include:

- document change control and security
- one-time keying of, copying and handling legislative text
- physical file tracking
- automatic import of ALL legislative text into the data base
- automatic format of appropriate pieces of legislative text to produce unlimited number of reports (hearing notices, subject index, voting records, certified copies, referral notices, etc.)
- a web-enabled application
- automatic HTML generation and other methods of publication
- ability to scan correspondence and generate and attach C pages and other reports to the legislative file, such as budget or research analyst reports

Although Daystar has released a 32-bit version of Legistar, several obstacles exist in moving forward with the vendor:

- There are contract management issues with respect to the level of support expected vs. received.
- Migrating to the next version requires staff training.

[27] See Appendix B, Legistar, Improvements in 4.x for 3.51 Users

- Migrating to the next version requires executive sponsorship in establishing a security matrix, refining processes and documenting business rules.
- Perceived costs are high.

The term perceived costs requires explanation. Daystar's new version is a site-licensed version. That is, additional charges are no longer incurred every time new people or outside departments wish to access the system. Instead, a flat rate is charged for unlimited city/county access. This type of licensing can make a key component of the San Francisco legislative process readily available to any person or organization capable of connecting. The ability to research legislation or query the status and actions taken throughout the life-cycle of a piece of legislation would then be at everyone's disposal.

The costs estimated to complete the migration to the new version of Legistar are approximately $100,000-$120,000 (including training.) Although this audit did not perform a complete gap analysis, research indicates the automation upgrade would reduce hard copy costs alone by up to 60%. This savings would allow the Office of the Clerk of the Board to recoup the initial automation investment in 3-5 years.

Additional funding sources may also exist. For example, an enterprise-wide records management solution would benefit many departments outside the Board of Supervisors. It is an established practice in the City/County of San Francisco, and by the Department of Telecommunications and Information Services (DTIS), that costs incurred in deploying city/county-wide information solutions[28] are shared amongst the departments who benefit.

Recommendations for Records Management

R 54. Hire the Director of Records and Research as well as the Management Information Services support person as stated in recommendations #R 7 and #R 8.

R 55. Conduct a fact-finding tour at another Board of Supervisors office in California with a progressive automated records management system.

R 56. Discontinue plans to attach Word documents to the Legistar record as a means to provide legislative text online. Importing text into a data base structure will allow more efficient use of existing and future technology.

R 57. Similar to recommendations #R 31 and R 37, define the business processes of the organization with focus on identifying and

[28] See Management Information Services for Tivoli charge back discussion

documenting all business rules. These business rules are the key requirements of any automated tool considered for upgrade or implementation in the Office of the Clerk of the Board.

R 58. Re-evaluate the current Daystar support contract and realign expectations.

R 59. Create a team to assess the requirements, costs and benefits for implementing all features of the existing version of Legistar. (This includes importing text to allow the system to automatically format and compose reports, and to provide document change control and security.)

R 60. Create a cost/benefit report for migrating to the next release of Legistar. This includes the costs incurred and benefits gained from realigning support expectations with Daystar.

R 61. Develop an executive sponsored data security matrix as a requirement of the records management solution(s).

R 62. Conduct a feasibility study, if necessary, exploring other options in attaining the records management vision (other application packages, in-house development, etc.).

R 63. Incorporate management decisions resulting from the cost/benefit and feasibility exercises into the strategic plan.

R 64. Migrate to importing legislative text into a database. (This can be done using the current version of software.)

R 65. Migrate to scanning communication pages and linking to the "docket" information contained in a records management system.

R 66. Allow all staff, other departments and the public the ability to query legislation without pulling physical files.

R 67. Re-evaluate data conversion decisions in light of human resource cost to conduct research.

R 68. Investigate, plan and estimate costs necessary for web-enabling the legislation system.

YOUTH COMMISSION

As mentioned in the Description of the Environment, the Youth Commission Director is involved in a management dichotomy similar to the situation involving the Clerk of the Board and Aides. The Youth Commission Director supports the Commissioners who are appointed by the Board. The Clerk of the Board refers youth related issues to the Youth Commission for comment and recommendations. Although Commission directives are received from the Board of Supervisors, the Director of the Youth Commission, by Charter, is appointed by and reports to the Clerk of the Board.

A new service model has been developed and adopted by the Director of the Youth Commission and support staff. In this model, the Clerk of the Board is more active in establishing guidelines, goals, and objectives for the workgroup. The new Youth Commission service model adds significant value in that it strengthens communication and clarifies the chain of command.

Recommendations for Youth Commission

R 69. Continue to strengthen the reporting process for the Youth Commission Director providing a mentor relationship with the chain of command of the Office of the Clerk of the Board.

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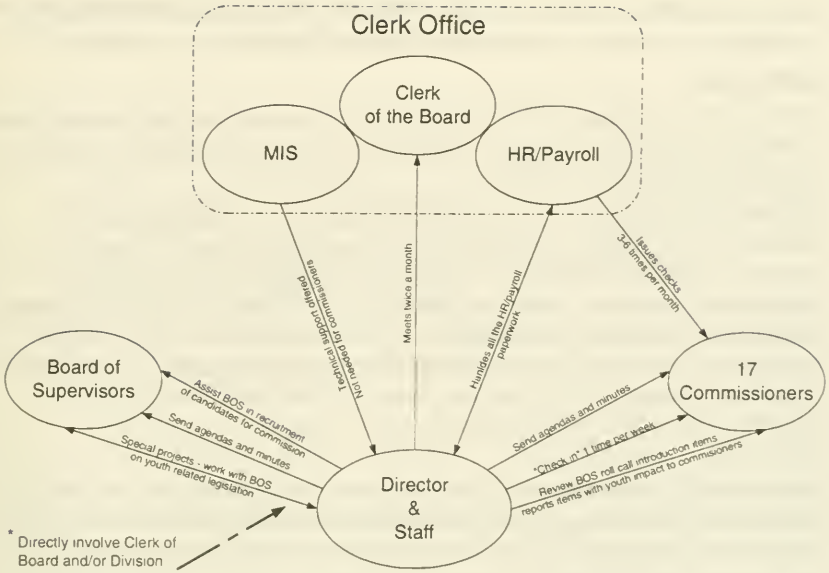
Clerk Office
Clerk of the Board
MIS
HR/Payroll
Technical support offered (Not needed for commissioners)
Meets twice a month
Handles all the HR/payroll paperwork
Issues checks 3-5 times per month
Board of Supervisors
17 Commissioners
Assist BOS in recruitment of candidates for commission
Send agendas and minutes
Special projects - work with BOS on youth related legislation
Send agendas and minutes
"Check in" 1 time per week
Review BOS roll call introduction items
reports items with youth impact to commissioners
Director & Staff
* Directly involve Clerk of Board and/or Division manager in this communications link.
Youth Commission

OPERATIONS AND LEGISLATION[29]

Absenteeism

A significant issue facing the Operations and Legislation workgroups is the rate of absenteeism and the corresponding effect on workload. This was used as an example in the section on Improving Resource Pooling and Improving Job Classifications. Restructuring and combining the skill sets available for both committee and board meetings into one resource pool would provide a back up support system. Additional recommendations to improve the work environment include adding additional staff to provide services[30], establishing a team structure[31], realigning skills to support products produced[32] and

[29] Although these are two workgroups, they have similar issues, and have been combined into one workgroup for this reason.
[30] See Staffing
[31] See Self Directed Work Teams
[32] See Organizational Structure

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providing training[33]. It is anticipated these steps will reduce resistance to change and resistance to the evolution of automation in the workplace.

Front Desk

Several front desk issues[34] fall into three main categories: the physical setup of the front desk, staff attitude, and the resource pool available to ensure reception coverage.

The physical setup of the front desk is inefficient. Providing reception support for the Office of the Clerk of the Board and eleven (11) Board Members requires a streamlined station. The equipment needed by a receptionist should be readily accessible and in close proximity to the desk, not in another room. This includes a reception workspace that features visual separation from other staff with a fax machine, copier, printer and a personal computer. Currently, the copier is in one room and the fax in another. This physical arrangement resulted from space and power limitations.

Typically, two people are assigned to support reception duties. When a customer requires a copy or fax, the receptionist seeks assistance from a second staff member so as not to leave his/her station. This results in continuous interruptions for nearby staff, who are tasked to perform other critical duties. Because of these interruptions, the workgroup also displays a reluctance to assist the customer. Since the reception desk is in view of staff assigned to other critical duties, the expectation of the customer is he/she should be served by whoever is visually present.

The telephone system must enable the receptionist to answer several calls at once. A reluctance to participate in assisting the reception area is shared by many staff asked to cover phones. Several recommendations addressing this issue are included in other sections. A critical component is to provide a clearly defined public relations mission to support the Office of the Clerk of the Board and the Board of Supervisors[35]. By establishing a team-oriented philosophy[36] the values of ownership and accountability will evolve naturally. This position is of great importance as the primary interface to the public.

The inadequacy of the current backup system stems from the requirement for the Operations and Legislation section to share the responsibility of covering reception duties. Though the primary responsibility lies with Operations, Legislation staff must also assist during noon coverage and at other peak traffic times. This requirement is met with resistance by both sides.

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[33] See Training and Education
[34] See Issues and Recommendations
[35] See Organizational Structure (Supervisor Support Services Group)
[36] See Self Directed Work Teams

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Recommendations include restructuring staff so coverage of telephones is performed by a resource pool dedicated to the public relations mission[37].

Recommendations for Operations and Legislation

R 70. Redesign and relocate the front desk reception area so all necessary equipment, supplies, and documents are within reach and other staff are not interrupted by front desk business.

R 71. Change telephone system automatic transfer programming so receptionist can handle multiple calls.

R 72. Perform Recommendations #R 4, R 5 and R 17; establish Supervisor Support Services group and self directed work teams, and provide training on team philosophy.

Management Information Services (MIS)

In addition to recommendations made in other sections of this report[38], two areas unique to the Management Information Services team were examined in the course of the audit. They were:

- the use of existing automation tools
- the full use of tools or services paid for in the budget

The Legistar system deployed in the Office of the Clerk of the Board contains features that are not fully used at the present time. Partial reasons for this are addressed in the Records Management section of this report. It is important to mention that while features such as full text legislative searches and robust security exist in the current version, deploying them in the manner dictated by the software may compromise the current business rules of the organization. The strategy in implementing the recommendations made in this report is to sequence the recommendations so that strategic plans and process engineering occur *prior to* further deployment of automated features. Once strategic plans and processes are engineered around the organizational structure, business rules become static and automated tools can then effectively be implemented to support them.

Quick, accurate, inter-departmental dissemination of information is a key to maintaining staff support or buy-in during a time of rapid change and growth. The Intranet is a powerful organizational tool that is underutilized at the

[37] See Organizational Structure (Supervisor Support Services)

[38] See Recommendations for Staffing, Recommendations for Records Management, Recommendations for Strategic Planning and Recommendations for Training and Education

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Office of the Clerk of the Board. References such as a "who to call" list and a common file area exist on the intranet. But unless staff know how to access this information, and the information is kept current, it has limited value. Well-developed intranet systems can be intuitive and irreplaceable in fostering unity and building partnerships. Interoffice news letters, commendations, announcements, guidelines, "How To's," project and goal reports, as well as "Tips and Tricks" are a few examples of items which would serve to inform and unite the staff and improve morale. These items are of particular interest to those in fast-paced positions such as Aides and Liaisons and will be increasingly important over the coming year as the Board of Supervisors migrates to district elections. District elections may result in staff spread out over large geographic areas rather than just down the hall. Interoffice education and day-to-day communication will need to span greater distances and reach more people more quickly.

One of the largest single line items in the Management Information Services 1999-2000 budget is the Tivoli contract charge back of $8,400. Tivoli is a network management toolkit being deployed county-wide by the Network Engineering Division of DTIS. It is an enterprise-wide solution for supporting and maintaining any device attached to the city/county wide area network infrastructure. These toolkits are invaluable to the progress of information technology and the ability of an organization to efficiently service distributed hardware and software in the years to come Tivoli will be an indispensable network support tool should hardware and network connectivity be placed in district offices. The following are key Tivoli features of benefit to the LAN managers of the Office of the Clerk of the Board[39]:

- can remotely manage and support workstations and file servers
- can "take over" a remote computer to troubleshoot user problems
- can automatically manage the computer assets of the Office of the Clerk of the Board
- can distribute new versions of software or documents remotely and make the process transparent to end users

Tivoli is intended to be an enterprise-wide support toolkit. Deploying such systems requires a multi-year, phased project. At the time of the investigation, DTIS had just completed the pilot implementation and was solidifying plans for the next step. Since the Office of the Clerk of the Board is already paying the Tivoli license fee, it should request the earliest possible implementation date. This toolkit will require specialized training and

[39] See Appendix C: Tivoli Framework for a detailed description of the product.

education for existing Information System team members and will allow MIS staff to support more remote devices from a central location.

Recommendations for Management Information Services

R 73. Complete recommendation #R 57, document all business rules for the organization.

R 74. Execute recommendations contained in the Records Management section and implement additional features of the Legistar system.

R 75. Develop a comprehensive Office of the Clerk of the Board intranet system.

R 76. Deploy Tivoli.

Aides and Liaisons

Aides perform similar tasks, share similar concerns, and are considered by others in the organization to be one group. In reality this resource pool is made up of 11 separate groups, directed by 11 individuals. Methods do exist, however, to improve communication and streamline the process for Aides as a workgroup, while retaining the separate identity of each Supervisor's office. Irrespective of the final organization-wide structure adopted, this group must be organized into a team. The team structure should include a leader who can set expectations and guidelines on how to function and operate to reduce the adverse impact on other workgroups. Within the current lack of structure, issues affecting Aides are not dealt with collectively, nor is ownership taken for long-term resolution.

Recommendations for Aides and Liaisons

R 77. Perform Recommendation #R 15: Executive Sponsorship.

R 78. Determine team leader and representative group (3-4 Aides) to begin improvements on communication among Aides and streamline business processes.

R 79. Perform Recommendation #R 48 and R 49: Training requirements for Aides.

R 80. Perform Recommendation #R 3: Realign workgroup to reflect real-world status.

Office of the Legislative Analysts (OLA)

The Board of Supervisors and Clerk of the Board have recently evaluated the Office of Legislative Analysts (OLA). Although opinions were mixed, the

objective analysis and research assistance OLA provides was determined to be both necessary and useful. The investigation found this skill set is required to efficiently research records and report findings.

The structure that exists in this workgroup is not conducive to growth and team building. Currently, there are two Senior Legislative Analysts and two Legislative Analyst positions comprising the workgroup. The two senior staff share supervisory responsibilities for the group, resulting in a 1:1 supervisor/staff ratio[40]. In this environment the boundaries of responsibility need to continually be refined, confirmed and communicated to maintain a clear chain of command.

The OLA will benefit by implementing the Self Directed Work Team philosophy discussed earlier in this report. Work teams are not aligned on job classification boundaries because the factors that determine the formation and leadership of a team are the goals and performance measures established for the product or service being produced. For example, a person is not the automatic team leader just because they are classified as a "senior." The title is important for longevity, payroll and other aspects of employment but is not the sole criteria for determining team leaders. Should a team be formed to automate and track the reports generated by the OLA, the person with the most experience in this area may be designated as team lead for a period of time. That may or may not be the "senior" person.

Recommendations for the Office of the Legislative Analysts (OLA)

R 81. Perform Recommendation #R 4: Restructure Organization

R 82. Perform Recommendation #R 5: Implement a team-based culture.

Assessment Appeals Board (AAB)

The Assessment Appeals Board (AAB) consists of two boards with five members and three alternates on each board. They are supported by Clerk of the Board staff in the scheduling and administration of appeals. Although evaluated during the course of the investigation, no recommendations specific to this workgroup surfaced. The payroll and human resource activities include sufficient checks and balances and the organization and structure of the group appear sound. While this workgroup is not without challenges, the recommendations made in other areas of the report will serve to improve the efficiency of this group.

[40] See Summary of Findings for discussion on efficiency with higher supervisor to staff ratios

Y2K Readiness

A report on the Office of the Clerk of the Board's readiness for the new millenium was prepared in November. A draft was delivered to the Clerk of the Board at that time. The early report creation and delivery allowed the Clerk of the Board time to examine and execute the recommendations, if so inclined, prior to the year 2000 rollover. The final Y2K preparedness report is included in Appendix A: Y2K Readiness Report.

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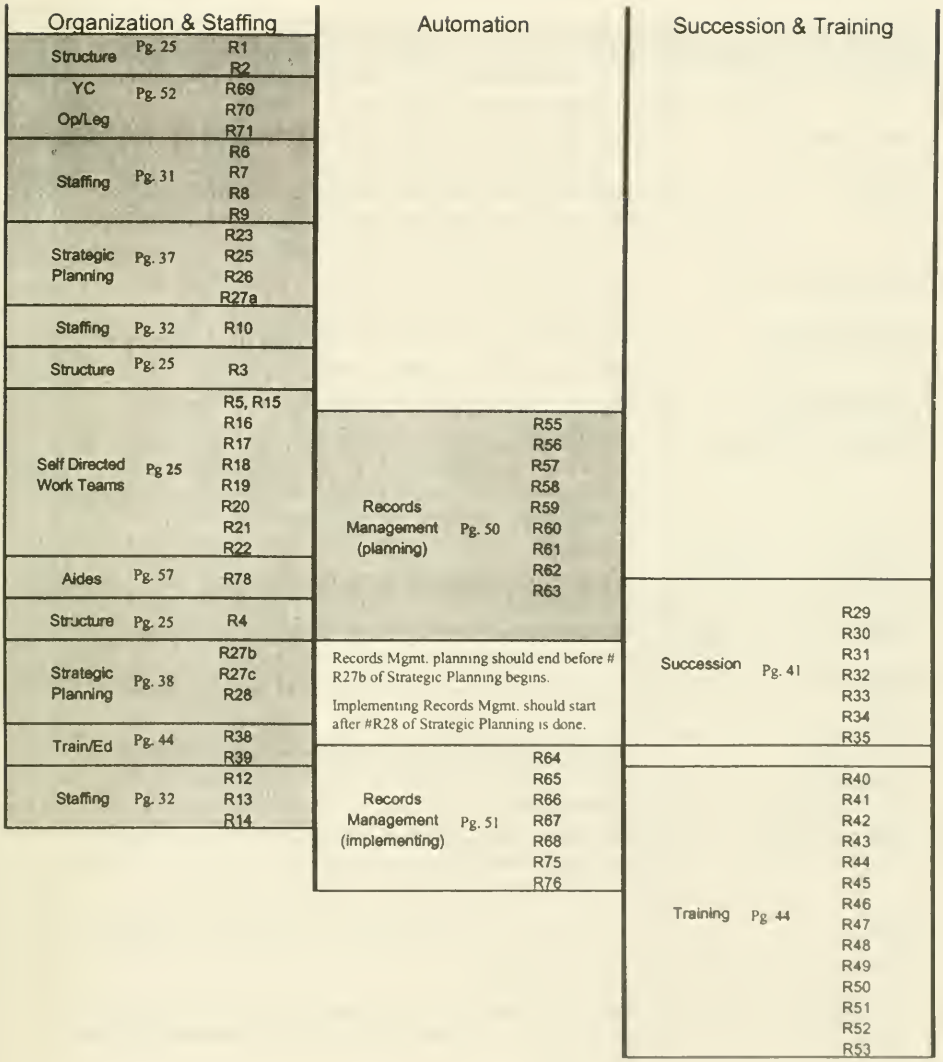
Implementation Plan

The following diagram is a model to implement recommendations made in this report. It is intended as a quick reference guide for planning. The recommendations are categorized in three groups: Organization and Staffing, Automation and Succession and Training. These groups of activities can happen in parallel with a few constraints. For example, it is possible for automation planning to happen in parallel with Organization and Staffing provided it ends prior to strategic planning.

The individual recommendations are listed in order of execution in each column and cross-referenced to the appropriate page in the Recommendations Description section of this report. In a staged implementation, the orange recommendations are those suggested to be phase I activities. The blue recommendations comprise phase II. However, some phase II activities can begin before phase I is complete (see Succession and Training column). It is important to note that this diagram is not intended to replace the need for a feasibility study and detailed implementation project plan.


Organization & Staffing
Automation
Succession & Training
Structure Pg. 25 R1 R2
YC Op/Leg Pg. 52 R69 R70 R71
Staffing Pg. 31 R6 R7 R8 R9
Strategic Planning Pg. 37 R23 R25 R26 R27a
Staffing Pg. 32 R10
Structure Pg. 25 R3
Self Directed Work Teams Pg 25 R5, R15 R16 R17 R18 R19 R20 R21 R22
Aides Pg. 57 R78
Structure Pg. 25 R4
Strategic Planning Pg. 38 R27b R27c R28
Train/Ed Pg. 44 R38 R39
Staffing Pg. 32 R12 R13 R14
Records Management (planning) Pg. 50 R55 R56 R57 R58 R59 R60 R61 R62 R63
Records Mgmt. planning should end before # R27b of Strategic Planning begins.
Implementing Records Mgmt. should start after #R28 of Strategic Planning is done.
Records Management (implementing) Pg. 51 R64 R65 R66 R67 R68 R75 R76
Succession Pg. 41 R29 R30 R31 R32 R33 R34 R35
Training Pg. 44 R40 R41 R42 R43 R44 R45 R46 R47 R48 R49 R50 R51 R52 R53

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GLOSSARY OF TERMS

Following is a list of terms and acronyms, defined as they are used in this report.

Term or Acronym	Definition
AAB	The Assessment Appeals Board office includes the Administrator and all clerical support positions.
AAB System	New cash-handling automated system scheduled for rollout in December, 1999, that will link Assessor, Controller, and AAB.
Aides	Technically, there are three Aides supporting each Supervisor. Two are called "Legislative Aides." The third, a "Constituent Liaison," was created by motion in 1997.
Automation Tools	Any computerized system, program, or application that becomes a substitute for manual tasks.
Best Practices	Practices that have worked well elsewhere. They are proven and have produced successful results.
Change Agent	A person empowered to take action and make changes.
Clerk of the Board	The Clerk of the Board is the department head of the Office of the Clerk of the Board. The full title position is Clerk of the Board of Supervisors, Legislative Administrator, and City Clerk of the City and County of San Francisco.
Constituent Liaisons	See "Aides"
COG	This is an acronym for Continuity of Government.
Culture	A collection of attitudes, ideas, and ways of conducting business that exist in a particular environment.
Entity	A designation of a group or individual considered one unit or body.
Executive Sponsorship	Executive Sponsorship occurs when management actively supports, encourages, approves and actively participates in strategic activities.
Gap Analysis	This type of analysis involves comparing the current business process to a new system and identifying "gaps" or areas where the new system does not support the current process.
MIS	An acronym for Management Information Services, this term is used here to represent the MIS team within the Office of the Clerk of the Board.
Multi-rater	Rating performance is accomplished by more than one person, measuring results against collaboratively-established goals and standards.
NPR	National Partnership for Reinventing Government - In 1993, a partnership was established to reinvent the Federal government.

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Term or Acronym	Definition
Reengineer	To redesign something, for example, a business process.
Remediation	The process of improving something or making a situation better.
Resource Pools	Groups of people who share similar skill sets and have the necessary knowledge and training to perform similar tasks.
OCCP	Operational Continuity and Contingency Planning
OLA	The Office of the Legislative Analyst
Top Down	A hierarchical structure of management.
Work Product	The end result of a series of processes and tasks.

Sources of Information

San Francisco Charter

US AID Results Sourcebook

National Partnership for Reinventing Government (NPR)

Government Performance and Results Act of 1993 (GPRA)

Benchmarking Study Report - Best Practices in Customer-Driven Strategic Planning published in 1997 by the NPR

Information Technology Management Reform Act of 1996

Santa Clara County

San Diego County

Alameda County

Riverside County

Los Angeles County

Orange County

Sacramento County

San Francisco Department of Telecommunications and Information Services (DTIS)

San Francisco Department of Human Resources (DHR)

Appendix A: Y2K Readiness Report

The objective of this report is to gauge the readiness level of the San Francisco Office of the Clerk of the Board and offer suggestions for achieving full compliance, using an industry standard project definition. Common steps for Y2K preparation and a description of typical government resumption strategies are presented in the following section as a baseline for measuring the Office of the Clerk of the Board's status. The MIS staff was asked to complete a questionnaire with respect to those steps outlined. It is important to note the MIS response to the questionnaire was given in late October and their remediation efforts have since progressed.

Description and Background

Organizational preparedness for the new millennium involves examination of all essential business processes and evaluation of the automated systems, or business machinery, which supports them. The results typically become components of one or both of the following resumption plans:

Continuity of Government (COG) - This is a strategic, enterprise-wide plan which defines how government will continue to function in the event of a catastrophe. For example, information found in a plan of this nature might include the transfer of critical operations to a secondary location in the event the primary place of operation is uninhabitable or not functional.

Operational Continuity and Contingency Plan (OCCP) – This is a plan typically adopted by individual departments detailing a tactical road map for maintaining baseline operations. For example, information found in a plan of this nature might include insuring a key staff person has access to a computer and necessary software to perform an essential process.

To accurately describe the status of the Office of the Clerk of the Board's preparedness, it is necessary to establish a basic understanding of industry standards. The following is a description of some steps required to ensure an organization will meet the new millennium with minimal interruption:

Step 1: Inventory – Conduct an inventory of hardware, software, and non-traditional computing devices containing embedded chips.

Step 2: Analysis – Analyze and prioritize mission critical business processes. Often, an organization has not identified their business processes and, therefore, cannot prioritize or categorize them. A prerequisite for this step is to examine the business practice and inventory the processes that exist.

Process experts can then categorize the inventory list[41] and prioritize their respective importance.

Step 3: Solutions – Identify possible solutions for Y2K compliance issues uncovered and outline the cost/benefit of each.

Step 4: Remediation – Remediate all identified Y2K compliance issues per inventory, analysis and solutions. This involves analyzing the risk of issues likely to be encountered, the possible ramifications of the business process disruption and the cost/benefit of remediation options. An action plan for remediating an issue may or may not involve hardware or software fixes. An example is drawn from the City of Oakland Y2K Task Force. A piece of software was found non-compliant. The cost to fix the software was estimated in excess of $200,000. The disruption caused by this issue was estimated at less than one day. Therefore, the remediation plan selected was to *not* fix the software but to develop work-around processes for the day of disruption.

Step 5: Testing and Validation - Test internal Y2K remediation solutions and validate received external remediation notifications to ensure Y2K compliance. This step includes obtaining letters of compliance from vendors who supply goods and/or services to the organization.

Step 6: Contingency Planning – Create a plan to ensure continuity of the process in the event of non-compliance.

Step 7: Full Compliance – Documentation and education of Y2K resumption plan is complete. MIS and process experts agree and acknowledge the organization has remediated all Y2K issues and is operationally prepared to meet any disruption presented by the millennium bug.

Office of the Clerk of the Board's Status

The City/County of San Francisco has established a Y2K project with the objective of remediating City/County-wide Y2K issues and preparing for disruption. This project supports the San Francisco Office of the Clerk of the

[41] Typical Industry Standard Process Categories:
Mission Critical – Any operational system or infrastructure element whose incorrect application or non-execution would immediately or eventually create a hazardous situation or unsafe condition for individuals using or depending upon the system; would cause immediate stoppage of direct operations; would allow a security breach; or would cause major loss or damage to equipment.
Mission Essential – Any operational system or infrastructure element whose incorrect application or non-execution would cause immediate stoppage of direct operations.
Mission Enabling – Any operational system or infrastructure element which enables secondary business processes, loss of which would not directly effect core business processes
Non-Essential – The system or element no used in organizational business processes, loss of which would not affect the organization's primary, secondary or tertiary business processes.

Board's efforts by addressing certain basic general service issues. The task force has essentially taken a hands-off approach in directly guiding the Office of the Clerk of the Board through the preparation steps outlined above.

On September 20, 1999, the Clerk of the Board was asked by the task force to sign a statement agreeing to take ownership of all Y2K contingency planning and remediation efforts for the Board of Supervisors and the Office of the Clerk of the Board. This statement was signed and returned to the task force with limited understanding of what was necessary to be operationally ready.

It appears the analysis and remediation of hardware, software and equipment used by Board Members and Clerk staff has been substantially completed. The MIS staff has continued remediation efforts begun by the City/County project by creating an emergency infrastructure to support the basic tools needed for Board operation. These include work stations, telephones, printers, network connectivity, etc. Operational Continuity and Contingency Plans (OCCPs) for "how" the organization will use the tools, "what" the business priorities are and "who" is responsible for executing the remediation or contingency plans are not complete.

In the course of conducting the audit investigation, it was discovered some operational resumption planning was done for earthquake preparedness. Y2K contingency planning is considered disaster planning, therefore, much of the analysis and management decisions made for earthquake preparedness are applicable to the Office of the Clerk of the Board's Y2K preparation. The following is a list of those items:

- chain of command of the organization including identifying the Members of the Board who will participate in the Disaster Council
- lines and method of communication, emergency supplies and first aid training
- understanding of the City Hall Emergency Power System plan
- operational emergency kit
- a computer system for emergency use

Recommendations for Y2K Readiness

The following items remain to be addressed by the Office of the Clerk of the Board for a comprehensive Y2K plan. They are listed in approximate order of execution:

1. Task a business process expert team to identify, classify and prioritize processes, including those the Members of the Board.
2. Create contingency plans to include the process, timing and individual(s) responsible to execute the plan. For example, if there is an emergency

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computer room with a limited number of stations and telephones these questions should be answered:

a. What are the most important tasks that need to be addressed?

b. Who needs to be available to do them and/or who will be competing for computer time?

c. What is the plan to share the equipment?

d. And, what if the disruption lasts a week, a month or maybe longer?

3. Revisit MIS remediation efforts to ensure:

a. All essential processes and risk factors have been considered.

b. The contingency plans support the type of remediation accomplished.

c. The contingency plan addresses all potential failures.

For example, a contingency plan calls for dial-up access to an offsite system. Does the workstation identified have a modem? A telephone line? If not, should the remediation be re-addressed or the contingency plan re-written prior to the end of the year?

4. Test and validate the contingency plan. Many organizations conduct "what if" scenarios and "trial runs" of the contingency plans to check operational viability.

5. Formalize and publish the Y2K components of the San Francisco Office of the Clerk of the Board's COG and/or OCCP.

In summary, Y2K preparedness is a form of disaster planning and requires essential process definition. Although both natural disasters and Y2K involve similar planning, the difference lies in our opportunity to plan in advance for Y2K; a luxury not available when experiencing a natural disaster. Providing the Members of the Board with a comprehensive plan, both strategic (COG) and tactical (OCCP), will instill in the public a sense of security and safety.

Appendix B: Legistar, Improvements In 4.x for 3.51 Users

Legislative Files

- Have separate matter file number sequences (separate numbering for Ordinances, separate for Resolutions etc.).
- Have alphanumeric matter versions (Version 1 or Version A).
- Edit master category lists on the fly (Add new file type from matter screen).
- Scroll through a list of all matters in the system or search by any criterion.
- Have unlimited text file size.
- Have unlimited attachment size.
- See the user stamp and time stamp of the last edit.
- Search on matter history.
- See where the matter was on the agenda or minutes from the matter screen.
- See the vote on a particular history line from matter screen.
- Easily navigate between matters, history lines, agendas and minutes.
- Preview reports on the screen, send to printer, or export to HTML, Word, RTF, ASCII text or e-mail..
- Save a report for later viewing (great for archiving historical data – agendas, minutes etc. and for sending reports to other departments).
- Print report for one matter or a set of matters (example: print the Certified Copy report for all resolutions passed at the last meeting).
- See on-screen description of every report.
- Have extensive criteria for producing reports.
- See affected code sections, indexes, sponsors (introducers), attachments and text files right on the matter screen.
- Use an internal text file editor (ASCII text and RTF).
- Have version-sensitive sponsorship.

- Have version-sensitive text files.

Meeting Agendas/Minutes

- Search on history.
- Go to matter from history line.
- Lock/Unlock agendas/minutes.
- Go to minutes from agendas.
- Scroll all meetings or search by any criterion.
- Mark items as supplemental (shaded or reports) (available customization).
- Mark items as deleted (crossed-out on reports) (available customization).
- Have agenda items auto-numbered (available customization).
- Print matter attachments along with the agenda (available customization).
- Have multiple roll calls per meeting.
- Have Pass/Fail/Tie for voting.
- Have version-sensitive titles on reports.
- Enter future meetings into database.

Referral Tracking

- Return all referrals listed on the screen.

Full Text Search

- Search for keywords within text files.
- Go to matter record after a match is found.

General Reports

- Edit General Certification text template.

Administration

- Have active or passive tense for actions.
- Enter matter status in valid actions criteria.
- Have plural names for votes.
- Specify which votes/roll call entries should show on reports.
- Specify which votes/roll call entries should show on reports if none were recorded.

- Import digital signatures and city logo (digital signatures on reports is an available customization).
- Have fractional votes (half vote etc.).
- Distinguish chair, vice-chair, member and ex officio office holders.
- Have unlimited number of security groups.
- Have text file templates for drafting matter text.
- Have standard paragraphs for easy pasting.
- Use internal spell checker.

Appendix C: Tivoli Framework

Managing heterogeneous distributed computer systems is a complex task that can involve various operating systems, distributed network services, and system management tasks. Tivoli Systems developed the Tivoli Management Environment (TME 10) to simplify the management of distributed systems.

TME 10 provides centralized control of a distributed environment, which can include mainframes, UNIX or NT workstations, and PCs. A single administrator can perform the following tasks for hundreds of networked systems:

- Manage user and group accounts.
- Develop new or upgraded software.
- Inventory existing system configuration.
- Monitor the resources of systems either inside or outside the TME 10 environment.

TME 10 lets you securely delegate system administration tasks to other administrators, giving you control over which systems an administrator can manage and what tasks that administrator can perform. TME 10 includes a base framework and a set of management applications that together provide direct control over specific resources in the distributed computing environment. TME 10 provides a simple, consistent interface to diverse operating systems, applications, and distributed services.

The TME 10 product line includes the following components:

- TME 10 Framework, based on an industry standard framework, provides basic system administration capabilities, as well as a set of foundation services for management applications. These capabilities and services include a Tivoli administrator facility, an administrative privilege facility, a system policy facility, and a notification facility.
- The TME 10 desktop provides a graphical user interface (GUI) and a command line interface (CLI).
- TME 10 management applications provide tools for managing specific system resources and services. TME 10 includes, among others, applications for software auditing and distribution, remote monitoring, and user administration.

- TME 10 AEF (Application Extension Facility) enables you to dynamically customize TME 10 supported applications by adding site-specific behavior or values to standard, off-the-shelf applications.
- TME 10 EIF (Event Integration Facility) enables you to build event adapters to map events from any application, resource, or component into a format compatible with the TME 10 Enterprise Console.
- The TME 10 Framework provides the foundation for managing resources in a distributed environment in two ways:
- As the basic administrator's view into the network, as well as a set of tools that are applicable across functions and applications.
- As the runtime platform for TME 10 applications.

The Framework provides that ability to create Tivoli administrators and assign them authorization roles based on the system management tasks they are to perform. It includes a notification facility that tracks changes made in the TME 10 environment and reports these changes to the appropriate administrators. If system management applications are installed, the notification facility also tracks changes to system files and reports these changes to the appropriate administrators.

The TME 10 Framework provides a set of system management services that enable you to install both the Framework and selected applications on multiple, heterogeneous systems. Once installed and configured, the Framework provides a robust foundation for managing TME 10 resources, policies, and policy regions.

TME 10 resources correspond to the systems, devices, services, and facilities in a distributed system. Some examples of TME 10 resources are workstations, software, and administrators. After a resource management application is installed, the TME 10 Framework provides you with a single logical view of all resources managed by the application. It also enables you to make local and global system changes to the resources. TME 10 can automatically update the actual system resources when the corresponding TME 10 resources are created, modified, or deleted.

Policies are rules that govern the management of resources, such as saying that all user accounts must have passwords, and password aging must be enabled. Traditionally, these rules take the form of software, shell scripts, written procedures, and guidelines, some of which may or may not always be followed. The Framework provides an advanced, multi-level policy facility that enables you to encode acceptable policies and values for individual resources. As a result, the rules for managing network and system

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management resources can now be enforced. This allows you to securely delegate routine system management tasks to other administrators with the knowledge that they can only make changes within the constraints of your policy and rules.

A policy region is a collection of TME 10 resources that are governed by a common set of policies. A policy region is often created to represent a management domain or area of influence for one or more system administrators. Policy regions enforce the policies associated with the region and its resources. Administrators are delegated resource management authority over one or more policy regions. They can only perform operations and changes as allowed within the policies set up by the senior administrative staff.

The following is a list of TME 10 Framework components that enable you to perform sophisticated TME 10 management tasks:

- Tivoli administrators, who enable you to assign different authorization roles and securely delegate various system management tasks. Unlike conventional system administrators, Tivoli administrators can be assigned specific system management tasks without providing them with root access or Administrator privileges.
- Region connection facility, which includes scalable support for multiple Tivoli Management Regions (TMRs) that can be connected across different networks. A TMR consists of a TMR server (a server system with the TME 10 Framework installed) and its clients.
- Multiplexed distribution service to efficiently distribute large amounts of data, such as configuration data in TME 10 profile-based applications and TME 10 software Distribution file packages, across large complex networks.
- NetWare distribution capabilities to distribute TME 10 Software Distribution file packages through a NetWare server to PC clients using TCP/IP or IPX/SPX protocol.
- Hierarchical profiles and profile managers, which enable you to combine and distribute configuration data common to several resources. These resources are managed by the TME 10 resource management applications.
- Policy and policy regions, which enable you to establish and enforce system management rules for any arbitrary grouping of resources.
- Dynamic IP addressing support for Windows 3.1, Windows 95, Windows NT PC agents and endpoints as well as Windows NT managed nodes.

- Task library, which serves as a collection point for common system management tasks and activities.
- RDBMS interface module (RIM) which enables some TME 10 applications to write application-specific information to supported relational databases.
- Query facility, which searches and retrieves information from a relational database.
- Scheduler, which enables you to control the timing and automation of regular system operations.
- Notification, which provides an audit trail of system management tasks.
- Management transactions to ensure the integrity and completeness of distributed management operations.

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Appendix D: List of Recommendations

Recommendations for Organizational Structure, Pg. 25

R 1. Explicitly empower the Clerk of the Board to act as change agent and organize the workgroups. This is especially necessary with respect to the Aides and Liaisons where culture interferes with the direct chain of command.

R 2. Gain commitment from the Board of Supervisors to actively participate and sponsor the change process.

R 3. Change the Charter to reflect actual organizational structure and align expectations for chain of command.

R 4. Re-structure organization by placing skill sets needed to produce services/products in the respective areas as follows:

R 5. Transition to a team-based culture.

Recommendations for Staffing, Pg. 31

R 6. Hire an Assistant to the Clerk of the Board.

R 7. Hire a management resource to be placed in charge of Records and Research to begin a strategic automation plan for records management. This position is fundamental to the coordination of long-range staffing.

R 8. Hire an information services support person capable of supporting users and applications, with primary emphasis on skills needed for melding work flow processes with automation products and developing comprehensive training programs.

R 9. Create a strategic plan for organizational migration as discussed in Strategic Planning section. The following is a list of tasks the project plan should include:

   a. Board of Supervisors and the Clerk of the Board to reach consensus on the desired organizational structure.

   b. Document the agreed upon structure and reasons supporting the need for change.

   c. Collaborate with the Department of Human Resources to:

i. Identify classifications needed for the target structure. (classifications used for other departments may be applicable).

ii. Validate pay scale of needed classifications.

iii. Add, modify or delete existing classifications.

d. Partner with union and association representatives to determine ideal migration path for existing staff.

e. Update strategic plan for training and education to include change management and organizational vision. Empower self directed work teams to design and implement the migration plan.

f. Require stakeholder sign off on project plan (management, DHR, unions, associations)

R 10. Redesign job classifications and their function per the project plan.

R 11. Restructure the organization and align all skills needed to produce similar product within one division, per the strategic plan.

R 12. After restructuring, re-evaluate skills needed for staff to perform assistant clerk and legislative functions. Should the organizational structure remain relatively unchanged, hiring additional staff should be considered in order to meet the district and information distribution needs.

R 13. After restructuring, re-evaluate the skills needed for staff supporting the Sunshine Ordinance provisions. Depending upon the records management strategic plan, that is, how quickly funding sources can be identified and improvements made, hiring additional staff should be considered to meet information distribution needs.

R 14. After restructuring, re-evaluate the skills necessary for staff who provide public relations services such as reception and Internet services. At least one new position is recommended to establish this professional service mission.

Recommendations for Self Directed Work Teams, Pg. 35

R 15. Executive sponsorship. The most critical requirement for implementing self directed work teams is to obtain executive sponsorship from the Board of Supervisors. The key is not just a verbal commitment, but continued visible and personal involvement in the process.

R 16. Develop a long-term plan for implementing teams that requires teams to develop business goals and progressively track and report results.

R 17. Train team members on team philosophy and expectations for each team type, leader and member. This includes coaching teams on developing non-negotiable processes, goals, tracking, reporting and interpersonal skills.

R 18. Implement teams within the organizational hierarchy according to the plan developed.

Develop an organization-wide audit process and increase accountability by:

R 19. Members of the Executive Team (on a rotation basis) attend Home Team meetings.

R 20. Place Home Team scorecards on Intranet, available for viewing by all employees.

R 21. Involve all teams in the evaluation of other team's progress measured against expectations.

R 22. Replace the traditional manager-employee appraisal with a peer performance review process to give individual Home Team members feedback.

Recommendations for Strategic Planning, Pg. 37

R 23. Establish a strategic planning project at the executive level. Participants include select Members of the Board of Supervisors, the Clerk of the Board (and Assistant) as well as the Director of Records and Research.

R 24. Perform recommendation #R 6: Hire an Assistant to the Clerk of the Board to lead the planning project.

R 25. Perform recommendation #R 7: Hire a manager in charge of Records and Research with extensive information services management and budgeting background.

R 26. Prepare a detailed project plan for creating the Office of the Clerk of the Board Strategic Plan.

R 27. Write a strategic plan as described in the Description and Background section encompassing:

a. human resources

b. automation

c. disaster recovery and education.

R 28. Adopt a process for maintaining the Strategic Plan as a living document in the organization.

Recommendations for Succession Planning, Pg. 41

R 29. Create a project plan for the creation of Succession Plans. Participants include but are not limited to: the Clerk of the Board (and Assistant), the Clerk of the Board direct reports and a DHR representative.

R 30. Train managers and teams on the Succession Plan vision. Emphasize the non-threatening aspect and an opportunity for career growth.

R 31. Conduct essential process analysis to identify and document those processes critical to the organization that need to be addressed in a succession plan.

R 32. Identify key individuals or duties whose extended absence would jeopardize the organization's continuity, strategic goals or ideal culture.

R 33. Establish Succession Planning as a non-negotiable process in creating Self Directed Work Teams.

R 34. Incorporate training requirements discovered during the creation of the succession plans into the Office of the Clerk of the Board training budget/plan. These requirements may serve as a basis for the corporate training plan.

R 35. Record Succession Plans as living documents.

Recommendations for Training and Education, Pg. 44

R 36. Implement recommendation #R 8: Hire an MIS support resource with training and business process documentation background.

R 37. Document all processes and procedures.

R 38. Create an organization-wide training plan based on strategic plans, succession plans, and developed process documentation.

R 39. Identify members of each workgroup to collaborate with the MIS support resource in developing a training plan unique to the needs of that group.

R 40. Develop training aids using information contained in essential process documentation and vendor manuals.

R 41. Designate workgroup trainers.

R 42. Periodically revisit training curricula for updates and enhancements.

Training Recommendations specific to MIS, Pg. 44

R 43. Receive advanced training on Local Area Networks (LANs).

R 44. Receive technical training on advanced features of the Legistar system.

R 45. Receive formal training on systems, workflow and gap analysis.

R 46. Receive advanced level training on Microsoft Office applications.

R 47. Receive training on the Wide Area Network (WAN) toolkit – TIVOLI.

Training Recommendations for Legislative Aides and Constituent Liaisons, Pg. 44

R 48. Develop guides for Aides on all common business processes.

R 49. Provide orientation training at time of hire on the purpose and mission of the Board of Supervisors, include training on common business processes.

Training Recommendations for Operations and Legislation, Pg. 45

R 50. Provide Windows training.

R 51. Provide user level training on the Microsoft Office applications.

R 52. Provide training in effective business communication using Lotus CC:Mail.

Training Recommendations for all workgroups, Pg. 45

R 53. Provide training on philosophy of Self Directed Work Teams.

Recommendations for Records Management, Pg. 50

R 54. Hire the Director of Records and Research as well as the Management Information Services support person as stated in recommendations #R 7 and #R 8.

R 55. Conduct a fact-finding tour at another Board of Supervisors office in California with a progressive automated records management system.

R 56. Discontinue plans to attach Word documents to the Legistar record as a means to provide legislative text online. Importing text into a data base structure will allow more efficient use of existing and future technology.

R 57. Similar to recommendations #R 31 and R 37, define the business processes of the organization with focus on identifying and documenting all business rules. These business rules are the key requirements of any automated tool considered for upgrade or implementation in the Office of the Clerk of the Board.

R 58. Re-evaluate the current Daystar support contract and realign expectations.

R 59. Create a team to assess the requirements, costs and benefits for implementing all features of the existing version of Legistar. (This includes importing text to allow the system to automatically format

and compose reports, and to provide document change control and security.)

R 60. Create a cost/benefit report for migrating to the next release of Legistar. This includes the costs incurred and benefits gained from realigning support expectations with Daystar.

R 61. Develop an executive sponsored data security matrix as a requirement of the records management solution(s).

R 62. Conduct a feasibility study, if necessary, exploring other options in attaining the records management vision (other application packages, in-house development, etc.).

R 63. Incorporate management decisions resulting from the cost/benefit and feasibility exercises into the strategic plan.

R 64. Migrate to importing legislative text into a database. (This can be done using the current version of software.)

R 65. Migrate to scanning communication pages and linking to the "docket" information contained in a records management system.

R 66. Allow all staff, other departments and the public the ability to query legislation without pulling physical files.

R 67. Re-evaluate data conversion decisions in light of human resource cost to conduct research.

R 68. Investigate, plan and estimate costs necessary for web-enabling the legislation system.

Recommendations for Youth Commission, Pg. 52

R 69. Continue to strengthen the reporting process for the Youth Commission Director providing a mentor relationship with the chain of command of the Office of the Clerk of the Board.

Recommendations for Operations and Legislation, Pg. 55

R 70. Redesign and relocate the front desk reception area so all necessary equipment, supplies, and documents are within reach and other staff are not interrupted by front desk business.

R 71. Change telephone system automatic transfer programming so receptionist can handle multiple calls.

R 72. Perform Recommendations #R 4, R 5 and R 17; establish Supervisor Support Services group and self directed work teams, and provide training on team philosophy.

Recommendations for Management Information Services, Pg. 57

R 73. Complete recommendation #R 57, document all business rules for the organization.

R 74. Execute recommendations contained in the Records Management section and implement additional features of the Legistar system.

R 75. Develop a comprehensive Office of the Clerk of the Board intranet system.

R 76. Deploy Tivoli.

Recommendations for Aides and Liaisons, Pg. 57

R 77. Perform Recommendation #R 15: Executive Sponsorship.

R 78. Determine team leader and representative group (3-4 Aides) to begin improvements on communication among Aides and streamline business processes.

R 79. Perform Recommendation #R 48 and R 49: Training requirements for Aides.

R 80. Perform Recommendation #R 3: Realign workgroup to reflect real-world status.

Recommendations for the Office of the Legislative Analysts (OLA), Pg. 58

R 81. Perform Recommendation #R 4: Restructure Organization

R 82. Perform Recommendation #R 5: Implement a team-based culture.